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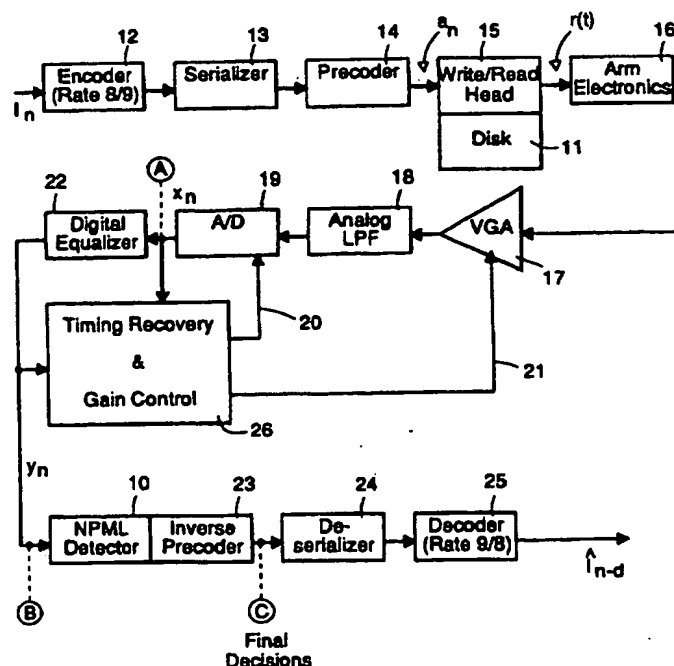
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## (57) Abstract

The present application makes use of a novel noise-predictive maximum-likelihood (NPML) data detection scheme (10) operating on signal samples received via an equalizing filter (22) from a channel, and in particular a storage channel of a direct access storage device. This scheme arises by applying a noise prediction/whitening process to the output signal of said equalizers and by providing means in the branch metric computation of a maximum-likelihood sequence detector (MLSD). It furthermore provides for cancellation of intersymbol-interference (ISI) components of said signal samples, by means of an appropriate table look-up. The contents of the table look-up are addressed by using decisions from the path histories of the maximum-likelihood sequence detector.



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## DESCRIPTION

### APPARATUS AND METHOD FOR NOISE-PREDICTIVE MAXIMUM-LIKELIHOOD (NPML) DETECTION

## TECHNICAL FIELD

10 The invention relates to data detection methods and apparatus, particularly methods and apparatus for partial-response signaling and maximum-likelihood sequence detection. It further relates to direct access storage devices (DASDs) based on these methods.

## BACKGROUND OF THE INVENTION

Application of partial-response (PR) class-IV (PR4) equalization and maximum likelihood sequence detection (MLSD) has been shown in theory and practice to achieve near optimal performance at recording densities of  
20  $0.8 \leq PW50/T \leq 1.6$ , where PW50 is the pulse width at the 50% amplitude point of the channel's step response and T is the duration of the channel encoded bit. A partial response maximum likelihood (PRML) system for the magnetic recording channel has been described in "A PRML system for Digital Magnetic Recording," Roy D. Cideciyan et al., IEEE Journal on Selected Areas  
25 in Communications, Vol. 10, No. 1, pp. 38 - 56, January 1992. In the US patent No. 4,786,890 a class-IV PRML channel using a run-length limited (RLL) code has also been disclosed.

At high recording densities, i.e.,  $PW50/T > 1.6$ , the linear partial-response  
30 class-IV equalizer leads to substantial noise enhancement. As a consequence, the performance of the PRML detector suffers and may become inadequate to meet product specifications. Application of extended partial-response maximum likelihood (EPRML) detectors has been shown in theory and

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1 practice to achieve better performance than PRML detectors in the range  
PW50/T > 1.6. The patent application GB-A-2286952, published on 30 August  
1995, discloses a novel EPRML scheme for data detection in a direct access  
storage device. The novel architecture of the invention claimed therein allows  
5 for the addition of EPRML detectors to PRML channels with only minor  
changes to the overall channel architecture.

The optimum MLSD receiver for detecting an uncoded data sequence in the  
presence of intersymbol-interference (ISI) and additive Gaussian noise  
10 consists of a whitened-matched filter followed by a Viterbi detector which  
performs maximum likelihood sequence detection on the ISI trellis, as  
described by G. D. Forney in "Maximum-likelihood sequence estimation of  
digital sequences in the presence of intersymbol interference," IEEE Trans.  
Inform. Theory, Vol. IT-18, No. 3, pp. 363 - 378, May 1972. For the magnetic  
15 recording channel the state complexity of this trellis is given by  $2^L$  where L  
represents the number of relevant ISI terms in the output signal of the  
whitened-matched filter. In the patent application WO94/29989 with title  
"Adaptive noise-predictive partial-response equalizing for channels with  
spectral nulls," filed 14 June 1993 and published 22 December 1994, and in  
20 reference "Noise predictive partial-response equalizers and applications," P.  
R. Chevillat et al., IEEE Conf. Records ICC'92, June 14-18 1992, pp.  
0942 - 0947, it was shown that a partial-response zero forcing equalizer  
cascaded with a linear predictor whose coefficients have been suitably  
chosen, is equivalent to the whitening discrete-time prefilter of the optimum  
25 MLSD receiver. Furthermore, in the same patent application a receiver  
structure has been disclosed where the prediction process has been  
imbedded in the Viterbi detector corresponding to the partial-response trellis.  
The above patent application WO94/29989 is primarily concerned with wire  
transmission systems.

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In the above patent application WO94/29989 and the article of P. R. Chevillat  
et al. it has been concluded that noise-prediction in conjunction with PRML  
improves detector performance.

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1 It is an object of the present invention to provide a method and apparatus with improved data detection performance.

It is an object of the present invention to provide a method and apparatus for  
5 improved data detection in direct access storage devices with the purpose to overcome the performance problems in prior art schemes.

It is an object of the present invention to provide a method and apparatus to achieve higher linear storage density in direct access storage devices  
10 (DASDs).

It is another object of the present invention to provide a method and apparatus which can be employed in a conventional PRML/EPRML direct access storage device without changing the principal architecture of the  
15 electronic channel.

#### SUMMARY OF THE INVENTION

20 The above objects have been accomplished by providing an entire family of estimation detectors which can for example be used for data detection in DASDs. Some of the present detectors, which make specific use of properties of the magnetic recording channel, arise by imbedding a noise prediction/whitening process into the branch metric computation of the  
25 maximum-likelihood sequence detector and are collectively called Noise Predictive Maximum Likelihood (NPML) detectors. They furthermore comprise means for cancellation of intersymbol-interference (ISI) components by an appropriate table look-up. In contrast to the patent application WO94/29989 and the article of P. R. Chevillat et al. where the state complexity of the  
30 detector is fixed and determined by the partial-response trellis, the NPML detectors have a state complexity which is equal to  $2^K$ , where  $0 \leq K \leq L$  and  $L$  reflects the number of controlled (known) Intersymbol Interference (ISI) components introduced by the combination of PR equalizer and predictor.

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1 The special case where  $K = L$  is equivalent to the optimum MLSD detector  
for the given predictor length and the special case  $K = 0$  corresponds to a  
noise-predictive PR equalizer followed by a memoryless detector. For  
5  $1 \leq K < L$  the NPML detector operates on a reduced set of ISI states. At the  
same time, the  $(L-K)$  ISI terms (components) not represented in the  
state-space of the NPML detector are compensated in a decision-feedback  
fashion by using decisions from the path history. Thus, the NPML detectors  
offer a trade-off between performance and state complexity and/or length of  
10 decision-feedback and they provide a substantial gain in linear recording  
density over PRML and EPRML detectors. In addition, the present  
implementations of NPML detectors do not require multiplications in the  
imbedded predictor and thus allow simple random access memory (RAM)  
look-up implementation for ISI cancellation. Furthermore, NPML detectors  
15 generally do not exhibit quasi-catastrophic error propagation. Thus, additional  
increases in recording density can be achieved with higher rate run-length  
limited (RLL) codes by relaxing the constraints relating to the survivor path  
memory. Finally, besides modularity and substantial gains in performance, the  
NPML detectors have the important implementation advantage that they can  
20 be "piggy-backed" on existing PRML/EPRML systems. Therefore, there is no  
need for the development and implementation of an entirely new channel  
architecture which is a costly and complex task.

Also described and claimed are low complexity derivatives of the NPML  
detector family which offer appreciable performance gains. The respective  
25 schemes include, but are not limited to, two-state interleaved NPML detectors  
and cascaded noise-predictors with PRML detectors. Furthermore, derived  
from an NPML scheme with a single-tap predictor, a programmable 8-state  
NPML detector is described which is capable to operate also as a PRML or  
EPRML detector.

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DESCRIPTION OF THE DRAWINGS  
AND NOTATIONS USED

The invention is described in detail below with reference to the following drawings:

**FIG. 1** Shows a block diagram used to illustrate how the inventive NPML detectors fit into the existing PRML channel architecture.

**FIG. 2A** Shows the blocks of Figure 1 which are relevant for the present invention: the digital equalizer 22, the present NPML detector 10, and inverse precoder 23.

**FIG. 2B** Shows an equivalent form of the present NPML detector 10, according to the present invention.

**FIG. 2C** Shows another equivalent, more detailed, form of the present NPML detector 10, according to the present invention.

**FIG. 2D** Shows yet another equivalent form of the present NPML detector 10, according to the present invention.

**FIG. 2E** Shows another possible embodiment of a sequence detector with imbedded feedback, according to the present invention.

**FIG. 3A** Shows the noise-predictive part using a memoryless detector in cascade with a conventional PRML detector, according to the present invention.

**FIG. 3B** Shows another approach to realize the noise-predictive part using a memoryless detector in cascade with a conventional PRML detector, according to the present invention.

- 1     **FIG. 4**       Shows a block diagram to illustrate the operation of the metric update unit (MUU), for some state  $s_i$  at the time  $nT$ , according to the present invention. MMUs are major functional blocks in an NPML detector.
- 5     **FIG. 5**       Shows a 2-state trellis diagram.
- FIG. 6**       Shows an implementation of a 2-state NPML detector with a 4-tap predictor, according to the present invention.
- 10    **FIG. 7**       Shows a 2-state trellis (difference metric) diagram.
- FIG. 8**       Shows one possible way of mapping the algorithm implied by the trellis diagram in Figure 7 into hardware, where the threshold for the comparators is provided by the stored difference metric  $D_n$ .
- 15    **FIG. 9**       Shows a 4-state trellis diagram.
- FIG. 10A-10C** Shows another implementation of an NPML detector, according to the present invention (4-state, 2-tap predictor).
- 20    **FIG. 11A-11C** Shows another implementation of an NPML detector, according to the present invention (4-state, 4-tap predictor).
- 25    **FIG. 12**       Shows an 8-state trellis diagram with  $N=1$  and  $K=3$  (8-state, 1-tap predictor).
- FIG. 13**       Shows a transformed 8-state trellis diagram with  $N=1$  and  $K=3$  (8-state, 1-tap predictor).
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1     **FIG. 14**     Shows one possible way of mapping the algorithm implied by the trellis diagram in Figure 13 into a hardware structure. The survivor path memory controlled by the select-signals  $S_0, \dots, S_7$ , is not shown.

5     **FIG. 15**     Shows an alternate form of implementing the functions of the 2-state NPML detector with a 4-tap predictor shown in Figure 6.

10     **FIG. 16A-16C** Shows another implementation of an NPML detector, according to the present invention (4-state, N-tap predictor).

15     **FIG. 17A-17C** Shows another implementation of an NPML detector, according to the present invention (4-state, N-tap predictor).

## GENERAL DESCRIPTION

In the following the principal forms of implementation of NPML Detectors are described.

20     The block diagram in Figure 1 shows how the present NPML detectors fit into the existing PRML channel architecture. Customer data  $I_n$  are written in the form of binary digits  $a_n \in \{-1, +1\}$  by write head 15 on the disk 11 after being encoded in an encoder 12 by a rate-8/9 RLL code, serialized in a  
25     serializer 13 and precoded in a precoder 14 by a  $1/(1-D^2)$  operation where  $D$  is the unit delay operator. When retrieving the customer data from said disk 11, an analog signal  $r(t)$  is generated by the read head 15 and provided at the read-head's output. This signal  $r(t)$  is then applied via the arm electronics 16 to a variable-gain amplifier (VGA) circuit 17. The output signal of the VGA  
30     circuit 17 is first low-pass filtered using an analog low-pass filter 18 (LPF) and then converted to a digital form  $x_n$  by an analog-to-digital (A/D) converter 19. The functions of the A/D converter 19 and VGA unit 17 are controlled by the timing recovery and gain control loops 20 and 21, respectively. The analog

low-pass filter 18 is preferably a filter which boosts the higher frequencies to avoid saturation of the A/D converter 19. The digital samples  $x_n$  at the output of the A/D converter 19 (line labeled A in Figure 1) are first shaped to PR4 signal samples by the digital equalizer 22 (line labeled B in Figure 1) and are then passed on to the inventive NPML detector in the form of digital samples  $y_n$ . After inverse precoding by means of a precoder 23 performing a  $(1 \oplus D^2)$  operation, the output data of the NPML detector 10 (i.e. the final decisions; line labeled C in Figure 1) are fed via a deserializer 24 to a decoder 25 for the rate-8/9 RLL code which delivers the retrieved customer data  $\hat{I}_{n-d}$ . The inverse precoder function following the NPML detector in Figure 1 can be a separate functional block (as shown) or it can be imbedded in the trellis (survivor path memory) of the detector. Figure 2A shows the blocks in Figure 1 which are relevant for the present invention: the digital equalizer 22, the NPML detector 10, and the inverse precoder 23.

Generally, the coefficients of the digital equalizer 22 can be optimized so that the overall transfer function, including the head/disk-medium characteristics and the analog LPF 18, closely matches any desired system polynomial of the generalized partial-response form  $f(D) = (1 + f_1 D^1 + \dots + f_r D^r)$  where the coefficients  $f_i$  can be arbitrary real numbers. For example, the partial-response (PR) polynomial for class-4 PR systems (PR4) is  $f(D) = (1 - D^2)$ . Similarly, the polynomial for extended partial-response class-4 (EPR4) systems is  $f(D) = (1 - D^2)(1 + D) = (1 + D - D^2 - D^3)$ . A further example is  $f(D) = (1 - 0.1D - 0.9D^2)$ .

Figure 2B shows the basic structure of the NPML detector 10 in the form of a prediction error filter 41 cascaded with a sequence detector (SD) with imbedded feedback (FB) 30.

In the sequel we use PR4- equalized signals  $y_n$  (Line B in Figure 2B), however, the inventive scheme can be applied to any shaping performed by the equalizer 22 in Figures 2A and 2B.

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1 Figures 2C and 2D show two equivalent forms of NPML detectors, according  
to the present invention. Its basic principle can be explained as follows. Let  $y_n$   
be the output of the PR4 digital equalizer (line labeled B in Figures 1, 2C  
and 2D). This output then consists of a PR4 data signal and colored noise  
5 (colored interference components), i.e.,

$$y_n = a_n - a_{n-2} + w_n \quad (1)$$

10 where  $a_n \in \{-1, +1\}$  denotes the encoded/precoded data sequence written on  
the magnetic medium with a rate  $1/T$  and  $w_n$  represents the colored noise  
sequence at the output of the digital equalizer 22. The power of the colored  
noise component (colored interference component) can be reduced by noise  
prediction. If  $p(D) = (p_1 D^1 + p_2 D^2 + \dots + p_N D^N)$  denotes the transfer  
15 polynomial, or equivalently  $E(D) = 1 - P(D)$  denotes the transfer polynomial of  
the prediction error filter, of the N-tap minimum mean-square (MMSE)  
predictor of the noise sample  $w_n$ , then the signal

$$\begin{aligned} e_n &= w_n - \hat{w}_n = \\ &= w_n - \sum_{i=1}^N w_{n-i} p_i = \\ &= (y_n - a_n + a_{n-2}) - \sum_{i=1}^N (y_{n-i} - a_{n-i} + a_{n-i-2}) p_i \end{aligned} \quad (2)$$

25 represents the prediction error or equivalently the whitened noise component  
of the PR4-equalized output signal  $y_n$ . Reliable operation of the  
prediction/whitening process is possible by using decisions from the path  
history associated with each state which is available in a sequence (Viterbi)  
30 detector. In that sense, NPML detectors are MLSD detectors for (PR) signals  
with imbedded prediction or equivalently imbedded feedback.

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In view of (1) and (2) the branch metric of the NPML detector 10 for PR4-equalized samples corresponding to a transition from state  $s_i$  to state  $s_k$  takes the form

$$\lambda(s_i, s_k) = \left| y_n - \sum_{i=1}^N (y_{n-i} - a_{n-i}(s_i) + a_{n-i-2}(s_i)) p_i - a_n + a_{n-2} \right|^2 \quad (3)$$

where the terms  $a_{n-1}(s_i)$ ,  $a_{n-2}(s_i)$  represent past decisions taken from the path history associated with state  $s_i$  and  $a_n, a_{n-1}$  are determined by the hypothesized state transition  $s_i \rightarrow s_k$ . Clearly, the noise prediction process appears explicitly in the branch metric computation of the Viterbi algorithm implementing the NPML detector. Furthermore, it can be seen that by setting the predictor coefficients  $p_i$  equal to zero, the branch metric in (3) becomes the branch metric of the 4-state PRML detector.

The branch metric in (3) can also be written as

$$\lambda(s_i, s_k) = \left| y_n - \sum_{i=1}^N y_{n-i} p_i + \sum_{i=1}^N (a_{n-i}(s_i) - a_{n-i-2}(s_i)) p_i - a_n + a_{n-2} \right|^2 \quad (4)$$

By noticing that the first sum in (4) is state independent, and after some rearrangement of the remaining terms, the equivalent branch metric is obtained as

$$\lambda(s_i, s_k) = \left| z_n + \sum_{i=k+1}^{N+2} a_{n-i}(s_j) g_i + \sum_{i=1}^k a_{n-i} g_i - a_n \right|^2 \quad (5)$$

where the signal sample  $z_n = y_n - \sum_{i=1}^n y_{n-i} p_i$  is the output of the prediction error filter 41, shown in the equivalent NPML implementation of Figure 2C, and

1 {g<sub>i</sub>, i = 1, 2, ..., N + 2} are the coefficients of the imbedded feedback filter 42 (FIR: finite impulse response or RAM-based filter) in Figure 2C. It can be shown that the coefficients {g<sub>i</sub>, i = 1, 2, ..., N + 2} introduced in (5) are the coefficients of the polynomial

5  $g(D) = (1 + 1 - g_1 D^1 - g_2 D^2 - \dots - g_{N+2} D^{N+2}) = (1 - D^2)(1 - P(D)) = (1 - D^2)E(D)$ .

The effective ISI memory L of the PR4-based NPML system is thus L = N + 2. The symbols a<sub>n-1</sub>(s<sub>i</sub>) in the first summation term of (5) represent past decisions taken from the path history associated with state s<sub>i</sub>, whereas the symbols a<sub>n-1</sub> in the second summation term of (5) represent state information. Clearly, by

10 increasing K we effectively increase the number of states of the NPML detector and decrease the length of the imbedded decision feedback. Conversely, by decreasing K the number of states is decreased at the expense of increasing the length of the imbedded decision feedback. Thus, the emerging family of NPML detectors, in accordance with the present invention,

15 offers a trade-off between state complexity and length of imbedded decision feedback.

The two equivalent implementations of the NPML detector 10 shown in Figure 2C and 2D, respectively, require no change of the signal processing blocks, i.e., VGA 17, analog LPF 18, digital equalizer 22, timing recovery and

20 gain control loops 20 and 21, of the current PRML/EPRML channel architecture used by IBM and others. Any member of the family of NPML detectors according to the present invention can either replace the PRML/EPRML detector or operate concurrently with it.

25 A third possible implementation of an NPML scheme in the form of a filter cascaded with a sequence detector with imbedded feedback is shown in Figure 2E. In this case the combination of digital equalizer 22 and prediction error filter 41 (see Figure 2B) is replaced by a single finite-impulse response

30 filter designated as FIR1 51. Input to the filter FIR1 51 now are the unequalized samples x<sub>n</sub> at the output of the A/D converter 19 (line labeled A in Figure 1 and Figure 2E). The filter FIR1 51 has the property to whiten the noise and introduce a controlled amount of ISI in the signal samples z<sub>n</sub> at its

output. The coefficients of the feedback filter (FIR2 or RAM 52) are then used in the branch metric computation of the sequence detector with imbedded feedback in the same way described above. Thus, the branch metric takes the form

$$\lambda(s_j, s_k) = \left| z_n + \sum_{i=K+1}^{N+2} a_{n-i}(s_j)b_i + \sum_{i=1}^K a_{n-i}b_i - a_n \right|^2 \quad (6)$$

where  $z_n$  is the output of FIR1 51 and  $\{b_i, i = 1, 2, \dots, N+2\}$  is the set of coefficients of the filter FIR2 52. Note that expressions (5) and (6) are essentially the same. It can be shown that for infinitely long filters the three alternative implementations of sequence detection with imbedded feedback, shown in Figures 2A - 2E, are equivalent.

It should be understood that the NPML principles described hereinabove can be applied to any form of system polynomial  $f(D)$ . In the sequel, however, only the PR class-IV polynomial (PR4) will be considered as the target polynomial.

#### Performance and Preferred Parameters for NPML Detectors Used in DASD's:

The error performance of a magnetic recording system employing NPML detection has been studied by computer simulations in order to determine the appropriate parameters  $N$  (number of predictor coefficients) and  $K$  (length of detector memory defining the number of detector states  $2^K$ ) to be used in a practical system. In particular, the cases described in this document for  $N=1$ ,  $N=2$ , and  $N=4$  predictor coefficients lead to preferred NPML detectors.

Two low-complexity derivatives of the NPML detector family have also been investigated. Both schemes, like the entire family of NPML detectors, require no change of the signal processing parts of the current PRML channel architecture (see also Figure 1). Figure 3A shows the noise-predictive part using a memoryless detector in cascade with a conventional PRML detector.



1 The colored noise component of the PR4-equalized signal (line labeled B in Figure 1 and 3A) is first whitened by a predictor. Note that instead of imbedding the predictor into the MLSD process, a 3-level (+2, 0, -2) memoryless detector provides the (tentative) PR4 (signal sample) decisions  
5 needed for the whitening process. The PR4-equalized samples corrupted with the whitened noise components are then fed to a conventional PRML detector and inverse precoder to obtain improved final decisions. Figure 3B is an equivalent form of the scheme in Figure 3A similar to the equivalent forms in Figure 2C and 2D, respectively.

10 The second low-complexity NPML detector scheme is based on the fact that PR4 sequences can be viewed as two independent, interleaved dicode sequences with polynomial  $(1 - D')$ , where  $D'$  refers to a delay of  $2T$ . In this case each dicode sequence at the output of the digital equalizer (line labeled  
15 B in Figures 1, 2C, and 2D) can be described by a 2-state trellis. The Viterbi algorithm, operating separately on each of these 2-state interleaved trellises, will use the branch metrics given in (3) or (5) where the time indices are either even or odd. For example, while the Viterbi algorithm operates on the even trellis, the time indices of the branch metric expression (3) or (5) will be even  
20 whereas the contribution of the odd past decisions in whitening the noise will come from the path memory with the best metric of the odd trellis.

A further suboptimal scheme is to find the state with the best metric, compute the predictor output using the decisions from the survivor path corresponding  
25 to this best state, and applying it as a feedback term in the metric update computations for all states. This approach has the advantage that only a single RAM is needed.

#### 30 Concept of NPML Detectors with Nonlinear Predictors:

The NPML concept described herein is also applicable when the noise predictor has certain nonlinear characteristics and/or the computation of the predictor coefficients is based on a different noise model.

- 1 The present NPML architecture allows for great flexibility in optimizing the noise predictor function with respect to various kinds of random noise which occur in a practical target system. For example, only a portion of the total noise in hard disk drives is adequately modelled by additive white Gaussian noise (AWGN). Besides AWGN, the total noise includes other noise sources, such as signal-dependent disk noise, noise due to texture scratches, and so forth. In addition, to a certain extent coherent interference, such as clock and/or adjacent track signals, may also exist in the analog readback signal.
- 5
- 10 Because the NPML concept allows, in effect, the transfer function for the signal portion of the input to be different than that for the noise and other interference components also present in the signal, the predictor may be optimized to minimize signal disturbances due to any type of corruptive source. Conventional detectors (such as PRML and EPRML detectors, etc.)
- 15 are only optimized to the extent that the signal disturbance at the detector input is additive, random, uncorrelated and Gaussian. This is often a poor approximation in practical DASD systems; thus, using a linear predictor and/or computing the predictor coefficients based on this idealistic noise model may not lead to optimal solutions in situations where this assumption is
- 20 poorly matched.

In hard disk drives, both AWGN and so-called "disk noise" are dominant sources of readback signal corruption. In the following, an example is given for a linear noise predictor with four coefficients ( $N=4$ ) where the coefficients

25 have been computed by incorporating AWGN as well as disk noise in the noise statistics. A simple model of disk noise is the so-called "transition jitter model" wherein the deviation of each written transition from its nominal location is a random variable. The effective SNR achieved at the input of a PRML detector is 15.4dB and at the input of a 64-state NPML detector 18.9dB

30 for AWGN alone for a channel operating at  $PW50/T = 3$ . In case of AWGN combined with disk noise (transition jitter) the effective SNR at the input of a PRML detector is 12.7dB and at the input of a 64-state NPML detector 15.5dB for a channel operating at  $PW50/T = 3$ . It is interesting to note that the NPML

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1 detector is able to adapt the predictor coefficients to different noise statistics  
and thus to maintain an SNR margin of 2.8-3.5dB over PRML. Although this  
example uses a 4-tap linear noise predictor for NPML, this technique and its  
benefits is herein claimed for all possible types of noise predictors, including  
5 nonlinear predictors.

#### Examples of Preferred Embodiments of NPML Detectors:

The preferred form of implementation of an NPML detector within a PRML  
system is the one given in Figure 2C. More details on this embodiment of an  
10 NPML detector 10 are given in this section. Figure 4 illustrates the operation  
of a major functional block in an NPML detector according to Figure 2C - the  
metric update unit (MUU) 68 shown here for state  $s_k$  at time  $nT$ . Figure 4  
illustrates the required time relations between inputs and outputs of the  
various functional blocks. A separate MUU function must be provided for  
15 each hypothesized state  $s_k$ ,  $k = 1, 2, \dots, 2^K$ , where  $K \in \{1, 2, \dots, L\}$  and  $L$  is the  
number of controlled ISI terms, e.g. for PR4  $L = N + 2$ . In high-performance  
DASDs parallel MUU hardware must be provided for each state to meet the  
data throughput requirements; in principle, however, hardware could be  
shared if speed constraints permit. Furthermore, it is assumed here and  
20 hereafter that the survivor path memory (SPM) 61, as shown for example in  
Figure 4, is implemented by using the register-exchange method, as for  
example described in the patent application GB-A-2286952, published on 30  
August 1995.

25 The branch metric (BM) units in a conventional MLSD (Viterbi) detector  
require only signal sample inputs, obtained directly from the equalizer (signal  
labeled B in Figure 2C). As indicated in Figure 4, it is a distinguished feature  
of the NPML detectors with  $K < L$  that each BM unit 62, 63 requires signal  
samples processed by a predictor 41 (signal labeled  $z_n$  in Figure 2C), as well  
30 as an additional input from FIR or RAM-based filters 64, 65 (signals  $G_s$  and  
 $G_{s_i}$  in Figure 4) in the feedback path between the SPM 61 and the MUU 68.  
Note that the feedback filters 64, 65 do not have a common serial input, but  
they are loaded in parallel at every symbol interval  $T$ . The input of each FIR

1 or RAM-based filter 64, 65 is a set of most recent past decisions taken from  
the survivor path history stored in the SPM 61 for each hypothesized state  
(i.e.,  $s_i$  and  $s_k$ , respectively, in Figure 4). The add-compare-select (ACS) unit  
66 in Figure 3 adds the branch metrics to the state metrics  $M_{s_i}$  and  $M_{s_k}$ ,  
5 respectively, compares the results, selects the survivor metric  $M_{s_k}$  and  
provides the update signal  $S_{s_k}$  for the corresponding decision path in the SPM  
61. The SPM 61 produces final decisions at output line 67 with a delay of  $dT$   
seconds relative to time  $nT$ . It is a further feature of the present NPML  
detector that the delay parameter  $d$  can generally be made shorter compared  
10 to that of a conventional MLSD detector designed for PR signaling (i.e., PR  
signaling schemes with spectral nulls, such as PR4).

**NPML Detector Using Four Predictor Coefficients  
( $N=4$ ) and Two States ( $K=1$ ):**

15 For  $N=4$  and  $K=1$  the branch metrics based on (5) become

$$\lambda(s_j, s_k) = \left| z_n + \sum_{i=2}^6 a_{n-i}(s_j)g_i + a_{n-1}g_1 - a_n \right|^2 \quad (7)$$

20

where the signal sample  $z_n = y_n - \sum_{i=1}^4 y_{n-i}$  is the output of the prediction  
error filter 41. Associating the data symbols "+1" and "-1" with the binary  
numbers 1 and 0, respectively, the state information  $a_{n-1} = +1(-1)$  is  
25 mapped into the present state  $s_i = 1(0)$  and the present data symbol  
 $a_n = +1(-1)$  mapped into the next state  $s_k = 1(0)$ . Letting

25

$$G1_{n-1} = \sum_{i=2}^6 a_{n-i}(1)g_i \quad (8)$$

30

$$G0_{n-1} = \sum_{i=2}^6 a_{n-i}(0)g_i \quad (9)$$

one obtains the four branch metrics

$$\lambda(1,1) = |z_n + G1_{n-1} + g_1 - 1|^2 \quad (10)$$

$$\lambda(1,0) = |z_n + G1_{n-1} + g_1 + 1|^2 \quad (11)$$

$$\lambda(0,1) = |z_n + G0_{n-1} - g_1 - 1|^2 \quad (12)$$

$$\lambda(0,0) = |z_n + G0_{n-1} - g_1 + 1|^2 \quad (13)$$

where  $z_n$  are the samples obtained from the corresponding 4-tap prediction error filter connected in cascade with the equalizer (see Figure 2C). It will be useful to define the quantities

$$Z11_n = z_n + g_1 - 1 \quad (14)$$

$$Z10_n = z_n + g_1 + 1 \quad (15)$$

$$Z01_n = z_n - g_1 - 1 \quad (16)$$

$$Z00_n = z_n - g_1 + 1 \quad (17)$$

since they can be precomputed outside the feedback loop, if necessary by means of pipelining. Thus, eqs. (10) - (13) can be written as

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$$\lambda(1.1) = |Z11_n + G1_{n-1}|^2 \quad (18)$$

$$\lambda(1.0) = |Z10_n + G1_{n-1}|^2 \quad (19)$$

$$\lambda(0.1) = |Z01_n + G0_{n-1}|^2 \quad (20)$$

$$\lambda(0.0) = |Z00_n + G0_{n-1}|^2 \quad (21)$$

respectively. Finally, defining the stored metrics  $M1_n$  and  $M0_n$  for states 1 and 0, respectively, the trellis diagram shown in Figure 5 is obtained. The metrics are updated according to

$$M1_n = \min \{M1_{n-1} + \lambda(1.1); M0_{n-1} + \lambda(0.1)\} \quad (22)$$

$$M0_n = \min \{M1_{n-1} + \lambda(1.0); M0_{n-1} + \lambda(0.0)\} \quad (23)$$

and direct mapping of the trellis shown in Figure 5 into hardware functions leads to the implementation of the 2-state NPML detector with a 4-tap predictor 77 shown in Figure 6. It is proposed here to generate the terms  $G1_n$  and  $G0_n$ , defined by (8) and (9), respectively, by means of RAM-based filter structures 71, 72 which can be loaded with the appropriate (five) path history decisions. Also indicated in Figure 6 is the 2-state SPM 70 fed by the two comparators 58. In an alternate embodiment (not shown), the functions of SPM 70 and RAM-based filters 71, 72 shown in Figure 6 could be combined in an attempt to speed-up computation of  $G1_n$  and  $G0_n$ . Note further, that the squaring functions in Figure 6, realized by means of units 73-76, can be approximated to simplify the required circuitry, with minimal loss in performance. The decision signals S1 and S0 in Figure 6 are used to control

SUBSTITUTE SHEET (RULE 26)

the metric multiplexers 79 and the path update in the SPM 70. The selected metrics  $M1_n$  and  $M0_n$  are stored in registers 80 and 81, respectively.

A multitude of variations of the implementation shown in Figure 6 is possible, depending on constraints, complexity, critical timing paths, and algorithmic issues such as metric bounding. For example, automatic metric bounding can be achieved by using the conventional modulo technique in the adders 82-85 feeding the comparator inputs 58, as described in "An Alternative to metric rescaling in Viterbi decoders," A.P. Hekstra, IEEE Transactions on Communications, Vol. 37, No. 11, pp. 1220 -1222, November 1989. An alternate method of metric normalization can be implemented by applying the concept of a difference metric. Defining the difference metric

$$D_{n-1} = M1_{n-1} - M0_{n-1} \quad (24)$$

the trellis in Figure 7 is obtained where the metrics are updated such that the metric for state 0 is always the zero-valued metric. Thus, the difference metric is updated according to

$$D_n = \min \{D_{n-1} + \lambda(1,1); \lambda(0,1)\} - \min \{D_{n-1} + \lambda(1,0); \lambda(0,0)\} \quad (25)$$

where one can show that the cross-extension of the trellis in Figure 7, which would lead to the difference metric  $D_n = \lambda(0,1) - [D_{n-1} - \lambda(1,0)]$ , is not possible. Thus, only three of the four potential values of  $D_n$  in (25) will have to be considered. One possible way of mapping the algorithm implied by the trellis description in Figure 7 into hardware is shown in Figure 8 where the threshold for the comparators is now provided by the difference metric  $D_{n-1}$  stored in register 80. Figure 8 is otherwise similar to Figure 6. The difference metric approach is useful in cases where it is not possible or convenient to use the conventional modulo technique which relies on 2s-complement arithmetic for metric normalization.

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1 **NPML Detector Using Two Predictor Coefficients**  
**(N = 2) and Four States (K = 2):**

For N=2 and K=2, i.e.,  $2^K = 4$  states, the branch metrics based on (5) become

5

$$\lambda(s_j, s_k) = \left| z_n + \sum_{i=3}^4 a_{n-i}(s_j)g_i + a_{n-1}g_1 + a_{n-2}g_2 - a_n \right|^2 \quad (26)$$

10 where the signal sample  $z_n = y_n - y_{n-1}p_1 - y_{n-2}p_2$  is the output of the 2-tap prediction error filter. Associating again the data symbols "+1" and "-1" with the binary numbers 1 and 0, respectively, we map the state information  $(a_{n-2}, a_{n-1}) = (-1, -1), (-1, +1), (+1, -1)$  and  $(+1, +1)$  into the present state  $s_i = 0, 1, 2,$  and  $3,$  respectively. Similarly, the next state information  $(a_{n-1}, a_n) = (-1, -1), (-1, +1), (+1, -1)$  and  $(+1, +1)$  is mapped into the next state  $s_i = 0, 1, 2,$  and  $3,$  respectively. Letting

15

20

$$G3_{n-1} = \sum_{i=3}^4 a_{n-i}(3)g_i = a_{n-3}(3)g_3 + a_{n-4}(3)g_4 \quad (27)$$

25

$$G2_{n-1} = \sum_{i=3}^4 a_{n-i}(2)g_i = a_{n-3}(2)g_3 + a_{n-4}(2)g_4 \quad (28)$$

30

$$G1_{n-1} = \sum_{i=3}^4 a_{n-i}(1)g_i = a_{n-3}(1)g_3 + a_{n-4}(1)g_4 \quad (29)$$

$$G0_{n-1} = \sum_{i=3}^4 a_{n-i}(0)g_i = a_{n-3}(0)g_3 + a_{n-4}(0)g_4 \quad (30)$$

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1 one obtains the eight branch metrics

$$\lambda(3,3) = |z_n + G3_{n-1} + g_1 + g_2 - 1|^2 \quad (31)$$

5

$$\lambda(3,2) = |z_n + G3_{n-1} + g_1 + g_2 + 1|^2 \quad (32)$$

$$\lambda(2,1) = |z_n + G2_{n-1} + g_1 - g_2 - 1|^2 \quad (33)$$

10

$$\lambda(2,0) = |z_n + G2_{n-1} + g_1 - g_2 - 1|^2 \quad (34)$$

$$\lambda(1,3) = |z_n + G1_{n-1} - g_1 + g_2 - 1|^2 \quad (35)$$

15

$$\lambda(1,2) = |z_n + G1_{n-1} - g_1 + g_2 + 1|^2 \quad (36)$$

$$\lambda(0,1) = |z_n + G0_{n-1} - g_1 - g_2 - 1|^2 \quad (37)$$

20

$$\lambda(0,0) = |z_n + G0_{n-1} - g_1 - g_2 + 1|^2 \quad (38)$$

25 where  $z_n$  are the samples obtained from the corresponding 2-tap predictor filter connected in cascade with the equalizer, see Figure 2C. It will be useful to define the quantities

$$Z33_n = z_n + g_1 + g_2 - 1 \quad (39)$$

30

$$Z32_n = z_n + g_1 + g_2 + 1 \quad (40)$$

SUBSTITUTE SHEET (RULE 26)

$$Z21_n = z_n + g_1 - g_2 - 1 \quad (41)$$

$$Z20_n = z_n + g_1 - g_2 + 1 \quad (42)$$

$$Z13_n = z_n - g_1 + g_2 - 1 \quad (43)$$

$$Z12_n = z_n - g_1 + g_2 + 1 \quad (44)$$

$$Z01_n = z_n - g_1 - g_2 - 1 \quad (45)$$

$$Z00_n = z_n - g_1 - g_2 + 1 \quad (46)$$

since they can be precomputed outside the feedback loop, if necessary by means of pipelining. Thus, eqs. (31) - (38) can be written as

$$\lambda(3,3) = |Z33_n + G3_{n-1}|^2 \quad (47)$$

$$\lambda(3,2) = |Z32_n + G3_{n-1}|^2 \quad (48)$$

$$\lambda(2,1) = |Z21_n + G2_{n-1}|^2 \quad (49)$$

$$\lambda(2,0) = |Z20_n + G2_{n-1}|^2 \quad (50)$$

$$\lambda(1,3) = |Z13_n + G1_{n-1}|^2 \quad (51)$$

SUBSTITUTE SHEET (RULE 26)

$$\lambda(1,2) = |Z12_n + G1_{n-1}|^2 \quad (52)$$

$$\lambda(0,1) = |Z01_n + G0_{n-1}|^2 \quad (53)$$

$$\lambda(0,0) = |Z00_n + G0_{n-1}|^2 \quad (54)$$

respectively. Finally, defining the stored (present) metrics  $Ms_{i_{n-1}}$  for each of the present states  $s_i = 0,1,2$ , and 3, one obtains the trellis diagram shown in Figure 9. The four metrics for the next states  $s_k = 0,1,2$ , and 3, are updated according to

$$Ms_{k_n} = \min \{Ms_{j_{n-1}} + \lambda(s_j, s_k); Ms_{i_{n-1}} + \lambda(s_i, s_k)\} \quad (55)$$

with  $s_j$  and  $s_i$  being the possible present states. Direct mapping of the trellis shown in Figure 9 into hardware functions leads to the scheme shown in Figures 10A, 10B, 10C. The terms  $G0_{n-1}$ ,  $G1_{n-1}$ ,  $G2_{n-1}$ , and  $G3_{n-1}$ , defined by (27) - (30), respectively, can be generated by means of a random access memory 131-134 (RAM) which stores the appropriate values for the given coefficient  $g_1$  and  $g_2$ , depending on the chosen operating point of the channel; the RAMs 131-134 need to hold only four different (actually two different and their negative) values. The 4-state SPM 135 is a register-exchange structure in case of high-speed implementation. Note that the squaring functions in (31) - (38) can be approximated to simplify the required circuitry, with minimal loss in performance. Four decision signals (S0, S1, S2, S3) are needed to control the metric multiplexers and the path update in the SPM 135. Automatic metric bounding is achieved by using the conventional modulo-2 technique in the adders 136-143 feeding the comparator inputs.

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**NPML Detector Using Four Predictor Coefficients (N=4)  
and Four States (K=2):**

For N=4 and K=2, i.e.,  $2^K = 4$  states, the branch metrics based on (5) become

$$\lambda(s_j, s_k) = \left| z_n + \sum_{i=3}^6 a_{n-i}(s_j)g_i + a_{n-1}g_1 + a_{n-2}g_2 - a_n \right|^2 \quad (56)$$

where the signal sample  $z_n = y_n - \sum_{i=1}^4 y_{n-i}p_i$  is the output of the prediction error filter. Associating again the data symbols "+1" and "-1" with the binary numbers 1 and 0, respectively, the state information  $(a_{n-2}, a_{n-1}) = (-1, -1), (-1, +1), (+1, -1)$ , and  $(+1, +1)$ , is mapped into the present state  $s_i = 0, 1, 2$ , and 3, respectively. Similarly, the next state information  $(a_{n-1}, a_n) = (-1, -1), (-1, +1), (+1, -1)$ , and  $(+1, +1)$ , is mapped into the next state  $s_k = 0, 1, 2$ , and 3, respectively. Letting

$$G3_{n-1} = \sum_{i=3}^6 a_{n-i}(3)g_i \quad (57)$$

$$G2_{n-1} = \sum_{i=3}^6 a_{n-i}(2)g_i \quad (58)$$

$$G1_{n-1} = \sum_{i=3}^6 a_{n-i}(1)g_i \quad (59)$$

$$G0_{n-1} = \sum_{i=3}^6 a_{n-i}(0)g_i \quad (60)$$

SUBSTITUTE SHEET (RULE 26)

one obtains the eight branch metrics

$$\lambda(3,3) = |z_n + G3_{n-1} + g_1 + g_2 - 1|^2 \quad (61)$$

$$\lambda(3,2) = |z_n + G3_{n-1} + g_1 + g_2 + 1|^2 \quad (62)$$

$$\lambda(2,1) = |z_n + G2_{n-1} + g_1 - g_2 - 1|^2 \quad (63)$$

$$\lambda(2,0) = |z_n + G2_{n-1} + g_1 - g_2 + 1|^2 \quad (64)$$

$$\lambda(1,3) = |z_n + G1_{n-1} - g_1 + g_2 - 1|^2 \quad (65)$$

$$\lambda(1,2) = |z_n + G1_{n-1} - g_1 + g_2 + 1|^2 \quad (66)$$

$$\lambda(0,1) = |z_n + G0_{n-1} - g_1 - g_2 - 1|^2 \quad (67)$$

$$\lambda(0,0) = |z_n + G0_{n-1} - g_1 - g_2 + 1|^2 \quad (68)$$

where  $z_n$  are the samples obtained from the corresponding 4-tap prediction error filter connected in cascade with the equalizer (see Figure 2C). It is useful to define the quantities

$$Z33_n = z_n + g_1 + g_2 - 1 \quad (69)$$

$$Z32_n = z_n + g_1 + g_2 + 1 \quad (70)$$

SUBSTITUTE SHEET (RULE 26)

$$Z_{21n} = z_n + g_1 - g_2 - 1 \quad (71)$$

$$Z_{20n} = z_n + g_1 - g_2 + 1 \quad (72)$$

$$Z_{13n} = z_n - g_1 + g_2 - 1 \quad (73)$$

$$Z_{12n} = z_n - g_1 + g_2 + 1 \quad (74)$$

$$Z_{01n} = z_n - g_1 - g_2 - 1 \quad (75)$$

$$Z_{00n} = z_n - g_1 - g_2 + 1 \quad (76)$$

since they can be precomputed outside the feedback loop, if necessary by means of pipelining. Thus, eqs. (61) - (68) can be written as

$$\lambda(3,3) = |Z_{33n} + G_{3n-1}|^2 \quad (77)$$

$$\lambda(3,2) = |Z_{32n} + G_{3n-1}|^2 \quad (78)$$

$$\lambda(2,1) = |Z_{21n} + G_{2n-1}|^2 \quad (79)$$

$$\lambda(2,0) = |Z_{20n} + G_{2n-1}|^2 \quad (80)$$

$$\lambda(1,3) = |Z_{13n} + G_{1n-1}|^2 \quad (81)$$

SUBSTITUTE SHEET (RULE 26)

$$\lambda(1,2) = |Z12_n + G1_{n-1}|^2 \quad (82)$$

$$\lambda(0,1) = |Z01_n + G0_{n-1}|^2 \quad (83)$$

$$\lambda(0,0) = |Z00_n + G0_{n-1}|^2 \quad (84)$$

respectively. Finally, defining the stored (present) metrics  $Ms_{i,n}$  for each of the present states  $s_i = 0, 1, 2,$  and  $3$ , one obtains the trellis diagram shown in Figure 9. The four metrics for the next states  $s_k = 0, 1, 2,$  and  $3$ , are updated according to

$$Ms_{k,n} = \min \{ Ms_{j,n-1} + \lambda(s_j, s_k), Ms_{i,n-1} + \lambda(s_i, s_k) \} \quad (85)$$

with  $s_i$  and  $s_k$  being the possible present states. Direct mapping of the trellis shown in Figure 9 into hardware functions leads to an implementation structure shown in Figures 11A, 11B, and 11C. Note the similarity, respectively the differences, compared to Figures 10A, 10B, 10C (size of predictor filter and RAM address length). The terms  $G0_{n-1}$ ,  $G1_{n-1}$ ,  $G2_{n-1}$ , and  $G3_{n-1}$ , defined by (57) - (60), respectively, can be generated by means of RAM structures which can be loaded with appropriate values depending on the chosen operating point of the channel: the 4-state SPM can again be a register-exchange structure. Note that the squaring functions in (61) - (68) can be approximated to simplify the required circuitry, with minimal loss in performance. Four decision signals  $S0$ ,  $S1$ ,  $S2$ , and  $S3$ , are needed to control the metric multiplexers and the path update in the SPM.

A multitude of variations for the implementation of the 4-state NPML detector with a 4-tap noise predictor is possible, depending on constraints on complexity, critical timing paths, and algorithmic issues such as metric bounding. For example, automatic metric bounding can be achieved by using

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the conventional modulo technique in the adders feeding the comparator inputs. The alternate method of metric normalization, the difference metric technique introduced above, can be extended to the 4-state NPML detector, for example, by updating the metrics such that the stored metric of state 0 is always the zero-valued metric. Further variations for implementing (4-state) NPML detectors can be obtained by explicit expansion of the squaring function involved in evaluating the branch metrics  $\lambda(s_j, s_k)$ .

**NPML Detector Using a Single-Tap Predictor (N=1)  
and Eight States (K = N + 2 = 3):**

It was pointed out hereinbefore that the 8-state NPML detector which uses a single-tap predictor (i.e., the case where N=1 and K=N+2=3 so that  $2^K = 8$  states) is a member within the family of NPML detectors which is of specific practical interest for DASD applications. Since in this particular case there is no feedback based on past decisions, i.e., the detector uses only (hypothesized) state information for noise prediction, the feedback loops via the FIR or RAM-based filters 64 and 65, as shown in Figure 4, are not present. For N=1 and K=3 the 16 branch metrics based on (5) become

$$\lambda(s_j, s_k) = |z_n + a_{n-1}g_1 + a_{n-2}g_2 + a_{n-3}g_3 - a_n|^2 \quad (86)$$

where the signal sample  $z_n = y_n - p_1 y_{n-1}$ . Furthermore, since in (86)  $g_1 = p_1$ ,  $g_2 = 1$ , and  $g_3 = -p_1$ , we can write

$$\lambda(s_j, s_k) = |z_n + a_{n-1}p_1 + a_{n-2} - a_{n-3}p_1 - a_n|^2 \quad (87)$$

where the triple  $(a_{n-3}, a_{n-2}, a_{n-1})$  represents the hypothesized state  $s_j$ ,  $a_n$  is the hypothesized transmitted symbol, and the triple  $(a_{n-2}, a_{n-1}, a_n)$  represents the resulting next state  $s_k$ . In this situation it is advantageous to evaluate the square on the right hand side of (87), to drop all state-independent terms, and



to scale the remaining expression. In this way, one arrives at the equivalent branch metric

$$\begin{aligned} \lambda'(s_j, s_k) = & -[a_n - a_{n-2} - (a_{n-1} - a_{n-3})p_1]z_n \\ & - (a_n a_{n-1} + a_{n-2} a_{n-3})p_1 - a_n a_{n-2} \\ & + (a_n a_{n-3} + a_{n-1} a_{n-2})p_1 - a_{n-1} a_{n-3} p_1^2 \end{aligned} \quad (88)$$

We now arbitrarily use a somewhat different rule than the one used above to map the state information into the corresponding state number, namely,  
 $s_1 = (a_{n-3}, a_{n-2}, a_{n-1}) = (-1, -1, -1)$  maps to the state 0,  
 $s_1 = (a_{n-3}, a_{n-2}, a_{n-1}) = (+1, -1, -1)$  maps to the state 1, ...  
 $s_1 = (a_{n-3}, a_{n-2}, a_{n-1}) = (+1, +1, +1)$  maps to state 7. Next, adding the state-independent term  $(1 + p_i^2)$  to all sixteen branch metrics represented by (88) and dividing the result by 2, the equivalent branch metrics can be listed as

$$\lambda''(0,0) = \lambda''(2,5) = \lambda''(5,2) = \lambda''(7,7) = 0 \quad (89)$$

$$\lambda''(0,4) = \lambda''(5,6) = -z_n + 1 \quad (90)$$

$$\lambda''(1,0) = \lambda''(3,5) = p_1(-z_n + p_1) \quad (91)$$

$$\lambda''(1,4) = \alpha(-z_n + \alpha) \quad (92)$$

$$\lambda''(2,1) = \lambda''(7,3) = z_n + 1 \quad (93)$$

$$\lambda''(3,1) = \beta(z_n + \beta) \quad (94)$$

SUBSTITUTE SHEET (RULE 26)

$$\lambda''(4,2) = \lambda''(6,7) = p_1(z_n + p_1) \quad (95)$$

$$\lambda''(4,6) = \beta(-z_n + \beta) \quad (96)$$

$$\lambda''(6,3) = \alpha(z_n + \alpha) \quad (97)$$

where

$$\gamma = 1 + p_1, \quad \beta = 2 - \gamma = 1 - p_1, \quad z_n = y_n - p_1 y_{n-1} \quad (98)$$

Defining the stored metrics  $Ms_{i,n}$  for the states  $s_i = 0, 1, \dots, 7$ , one arrives at the trellis diagram shown in Figure 12. The eight metrics  $Ms_{i,n}$  for the next states  $s_i = 0, 1, \dots, 7$ , are updated according to

$$Ms_{k,n} = \min \{ Ms_{j,n-1} + \lambda''(s_j, s_k); Ms_{i,n-1} + \lambda''(s_i, s_k) \} \quad (99)$$

with  $s_i$  and  $s_k$  being the states at time  $n-1$ , according to the trellis in Figure 12. The latter can in principle be mapped directly into a hardware structure.

The trellis in Figure 12 can be further simplified by applying a similar transformation technique as described in the patent application GB-A-2286952, published on 30 August 1995: the resulting transformed trellis is shown in Figure 13 where 12 of the 16 branch metrics are zero-valued and the remaining four have values  $2p_1$  or  $-2p_1$ . Defining the filtered samples

$$Y_n = -p_1 y_{n+1} + (1 + p_1^2) y_n - p_1 y_{n-1} \quad (100)$$

where  $y_n = a_n - a_{n-2} + \text{noise}$  is the PR4-equalized, noisy sample, the quantities  $Z_n$  and  $Q_n$  shown in the trellis of Figure 13 can be expressed as

$$Z_n = Y_n + (1 + p_1^2) \quad (101)$$

and

$$Q_n = -Y_n + (1 + p_1^2) = -Z_n + 2(1 + p_1^2) \quad (102)$$

respectively; if necessary, these quantities can be computed by pipelined circuitry since they are not part of the metric feedback loop. Direct mapping of the trellis in Figure 13 into a hardware structure leads to the scheme shown in Figure 14: the eight decision signals  $S_0 - S_7$  also control the operation of an 8-state SPM (register-exchange) not specifically shown. The SPM delivers the final decisions via the inverse precoder.

A significant feature of the NPML scheme described by Figures 12 - 14 is its ability to perform the detection function for arbitrary values of the noise predictor coefficient  $p_1$ . Thus, by programming the hardware with the best suited predictor coefficient (depending on the channel operating point), optimal detection is obtained within the constraints of a single-tap predictor. In particular, by setting  $p_1 = 0$ , the scheme performs detection for PR4 signals, i.e., the hardware operates as a PRML detector. On the other hand, setting  $p_1 = -1$ , the scheme performs detection for EPR4 signals, i.e., the hardware operates as an EPRML detector. The maximum required length of the SPM or, equivalently, the maximum decision delay for the final decisions, should be chosen such that the performance can be maintained for the most sensitive scheme (e.g. EPRML).

For implementation purposes, it may be advantageous to modify the algorithm outlined for the flexible 8-state, single-tap predictor NPML scheme by adding a convenient, state-independent term to  $Z_n$  defined in eq. (101), e.g., such that  $Z_n \rightarrow Z'_n = Y_n$ . It has been shown in the patent application GB-A-2286952, published on 30 August 1995, that the performance of the EPRML is not affected by such a measure since the channel is DC-free (spectral null at zero

frequency); this property extends to NPML detectors as well. Thus, an alternate version of the scheme in Figure 14 is obtained by modifying  $Z_n$  and  $Q_n$  such that  $Z_n \rightarrow Z'_n = Y_n$  and  $Q_n \rightarrow Q'_n = -Y_n + 2(1 + p_1^2) = -Z'_n + 2(1 + p_1^2)$ , respectively. Note that the condition  $Z_n + Q_n = Z'_n + Q'_n = 2(1 + p_1^2)$ , must always be satisfied by theory. However, as described in the patent application GB-A-2286952, published on 30 August 1995, it may be advantageous in practice to modify this condition such that  $Z_n + Q_n = Z'_n + Q'_n = 2(1 + p_1^2) - \gamma$ , where  $\gamma$  is a small, positive constant; a practical value may be  $\gamma = 0.25$ .

#### Alternate Forms of Implementation and Modifications:

This section further demonstrates the multitude of forms of implementation which are possible for NPML detectors according to the present invention. Some alternate forms and simplifications of the detectors presented above are now described in some detail:

#### 2-State, 4-Tap Predictor NPML:

Letting

$$G1'_{n-1} = g_1 + \sum_{i=2}^6 a_{n-i}(1)g_i \quad (103)$$

$$G0'_{n-1} = -g_1 + \sum_{i=2}^6 a_{n-i}(0)g_i \quad (104)$$

one obtains the four equivalent branch metrics

$$\lambda(1,1) = |Z_n + G1'_{n-1} - 1|^2 \quad (105)$$

$$\lambda(1,0) = |z_n + G1'_{n-1} + 1|^2 \quad (106)$$

$$\lambda(0,1) = |z_n + G0'_{n-1} - 1|^2 \quad (107)$$

$$\lambda(0,0) = |z_n + G0'_{n-1} + 1|^2 \quad (108)$$

where  $z_n$  are the samples obtained from the corresponding 4-tap prediction error filter connected in cascade with the equalizer (see Figure 2C). It is useful to define the new quantities

$$Z1_n = z_n - 1 \quad (109)$$

$$Z0_n = z_n + 1 \quad (110)$$

so that eqs. (105) - (108) can be written as

$$\lambda(1,1) = |Z1_n + G1'_{n-1}|^2 \quad (111)$$

$$\lambda(1,0) = |Z0_n + G1'_{n-1}|^2 \quad (112)$$

$$\lambda(0,1) = |Z1_n + G0'_{n-1}|^2 \quad (113)$$

$$\lambda(0,0) = |Z0_n + G0'_{n-1}|^2 \quad (114)$$

The alternate form of implementing the functions of Figure 6 is shown in Figure 15. Here, it is proposed to generate the terms  $G1'_{n-1}$  and  $G0'_{n-1}$ , defined by (103) and (104), respectively, by means of random access memory

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1 table look-up where the RAMs 121, 122 can be loaded with appropriate values  
 (32 for each RAM) depending on the chosen operating point of the channel.  
 The SPM 123 provides the five address bits  $a_{n-2}(1), \dots, a_{n-6}(1)$  and  
 $a_{n-2}(0), \dots, a_{n-6}(0)$  for the RAMs 121 and 122, respectively, as indicated in  
 5 Figure 15.

Computation of the branch metrics for the difference metric approach  
 (Figure 8) can be modified similarly; in this case, further simplifications are  
 possible. For example, the potential difference metrics  
 10  $D_n = \lambda(0,1) - \lambda(0,0) = -4(z_n + G0'_{n-1})$  and  
 $D_n = \lambda(1,1) - \lambda(1,0) = -4(z_n + G1'_{n-1})$  which have to be precomputed, have  
 simple expressions in terms of the signal sample  $z_n$  and the respective  
 quantities generated by the RAMs.

15 **4-State, N-Tap Predictor NPML where  $N=2$  or 4 (Alternative 1):**

Letting

$$20 \quad G3'_{n-1} = g_1 + g_2 + \sum_{i=3}^{N+2} a_{n-i}(3)g_i \quad (115)$$

$$25 \quad G2'_{n-1} = g_1 - g_2 + \sum_{i=3}^{N+2} a_{n-i}(2)g_i \quad (116)$$

$$30 \quad G1'_{n-1} = -g_1 + g_2 + \sum_{i=3}^{N+2} a_{n-i}(1)g_i \quad (117)$$

$$G0'_{n-1} = -g_1 - g_2 + \sum_{i=3}^{N+2} a_{n-i}(0)g_i \quad (118)$$

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one obtains the eight equivalent branch metrics

$$\lambda(3.3) = |z_n + G3'_{n-1} - 1|^2 \quad (119)$$

$$\lambda(3.2) = |z_n + G3'_{n-1} + 1|^2 \quad (120)$$

$$\lambda(2.1) = |z_n + G2'_{n-1} - 1|^2 \quad (121)$$

$$\lambda(2.0) = |z_n + G2'_{n-1} + 1|^2 \quad (122)$$

$$\lambda(1.3) = |z_n + G1'_{n-1} - 1|^2 \quad (123)$$

$$\lambda(1.2) = |z_n + G1'_{n-1} + 1|^2 \quad (124)$$

$$\lambda(0.1) = |z_n + G0'_{n-1} - 1|^2 \quad (125)$$

$$\lambda(0.0) = |z_n + G0'_{n-1} + 1|^2 \quad (126)$$

where  $z_n$  are the samples obtained from the corresponding N-tap prediction error filter connected in cascade with the equalizer (see Figure 2C). By making use of the definitions  $Z1_n = z_n - 1$  and  $Z0_n = z_n + 1$ , respectively, eqs. (119) - (126) can be written as

$$\lambda(3.3) = |Z1_n + G3'_{n-1}|^2 \quad (127)$$

$$\lambda(3.2) = |Z0_n + G3'_{n-1}|^2 \quad (128)$$

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$$\lambda(2,1) = |Z1_n + G2'_{n-1}|^2 \quad (129)$$

$$\lambda(2,0) = |Z0_n + G2'_{n-1}|^2 \quad (130)$$

$$\lambda(1,3) = |Z1_n + G1'_{n-1}|^2 \quad (131)$$

$$\lambda(1,2) = |Z0_n + G1'_{n-1}|^2 \quad (132)$$

$$\lambda(0,1) = |Z1_n + G0'_{n-1}|^2 \quad (133)$$

$$\lambda(0,0) = |Z0_n + G0'_{n-1}|^2 \quad (134)$$

respectively, yielding again the trellis diagram shown in Figure 9. Direct mapping of this trellis into hardware functions - by using the new variables as defined above - leads to the structure shown in Figures 16A, 16B, 16C. The terms  $G0'_{n-1}$ ,  $G1'_{n-1}$ ,  $G2'_{n-1}$ , and  $G3'_{n-1}$  defined by (115) - (118), respectively, can again be generated by means of RAMs 151-154 which can be loaded with the appropriate values depending on the chosen operating point of the channel; the 4-state SPM 155 - assuming again a register-exchange structure - provides the N address bits for each of the four RAMs (one per state); equivalently, these four RAMs 151-154 can be combined into a single RAM structure with multiple inputs and outputs. Automatic metric bounding is achieved by using the conventional modulo-2 technique in the adders feeding the comparator inputs.

### NPML Detectors Implemented by Analog VLSI Technology:

Implementation of any detector included within the family of NPML detectors can be done in either digital, analog, or mixed digital/analog VLSI circuit technology. Implementations in analog technology are of particular interest in



high data rate and/or low-power applications. An example for PRML is described in "Analog Implementation of Class-IV Partial-Response Viterbi Detector", A.H. Shakiba et al., Proc. ISCAS'94, 1994; similar methods can be applied to NPML detectors.

#### NPML Detectors with Reduced SPM Length:

It was indicated above, that NPML detectors generally do not exhibit quasi-catastrophic error propagation. This property can be exploited to save hardware and reduce decoding delay by reducing the length of the path memory in the Viterbi detector without compromising performance. On the other, these hardware savings may be traded for additional increases in recording density by using run-length limited (RLL) codes with a higher rate than 8/9, since the code constraints relating to the length of the SPM can be relaxed.

#### 4-State, N-Tap Predictor NPML where N=2 or 4 (Alternative 2):

Letting in (119) - (126)

$$G33'_{n-1} = G3'_{n-1} - 1 \quad (135)$$

$$G32'_{n-1} = G3'_{n-1} + 1 \quad (136)$$

and so on, we can write the eight branch metrics as

$$\lambda(3.3) = |z_n + G33'_{n-1}|^2 \quad (137)$$

$$\lambda(3.2) = |z_n + G32'_{n-1}|^2 \quad (138)$$

$$\lambda(2.1) = |z_n + G21'_{n-1}|^2 \quad (139)$$

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$$\lambda(2,0) = |z_n + G20'_{n-1}|^2 \quad (140)$$

$$\lambda(1,3) = |z_n + G13'_{n-1}|^2 \quad (141)$$

$$\lambda(1,2) = |z_n + G12'_{n-1}|^2 \quad (142)$$

$$\lambda(0,1) = |z_n + G01'_{n-1}|^2 \quad (143)$$

$$\lambda(0,0) = |z_n + G00'_{n-1}|^2 \quad (144)$$

This version leads to the implementation shown in Figures 17A, 17B, 17C where the squaring function can be approximated as shown by A. Eshraghi et al., in "Design of a New Squaring Function for the Viterbi Algorithm", IEEE Journal of Solid State Circuits, Vol. 29, No. 9, September 1994, pp. 1102 - 1107.

## CLAIMS

1. Apparatus for noise predictive maximum likelihood (NPML) sequence detection in a channel, comprising:

a) a prediction error filter for whitening colored random noise components of a sample  $y_n$  received via said channel, said sample  $y_n$  comprising a generalized partial-response signal component corrupted by said colored random noise components, leading to a signal  $z_n$  now having  $L$  intersymbol-interference components.

b) a sequence detector having

- a state complexity being equal to  $2^K$ , with  $0 \leq K \leq L$  and  $L$  reflecting the number of said intersymbol interference components, and
- survivor path means for storing path history decisions corresponding to  $2^K$  survivor paths.

c) means for cancellation of  $L-K$  of said  $L$  intersymbol-interference components, said means comprising

- feedback means for intersymbol-interference cancellation using precomputed and stored intersymbol-interference cancellation terms, and
- means for retrieving said intersymbol-interference cancellation terms by applying said path history decisions as addresses to said feedback means for intersymbol-interference cancellation.

2.- The apparatus of claim 1, wherein said means for cancellation comprises at least one random access memory for storing said intersymbol interference cancellation terms, said random access memory being arranged such that intersymbol-interference cancellation terms are retrieved by applying a path history decision taken from said survivor path means as address to said random access memory.

- 1     3. The apparatus of claim 1, wherein said sample  $y_n$  received via said  
channel is a partial-response signal and in particular a partial-response  
class-4 (PR4) shaped signal.
- 5     4. The apparatus of claim 1, wherein said sequence detector is a Viterbi  
detector.
- 10     5. The apparatus of claim 1, wherein said sequence detector is a 2-state  
sequence detector and said prediction error filter comprising a 4-tap  
predictor.
- 15     6. The apparatus of claim 1, wherein said sequence detector is a 4-state  
sequence detector and said prediction error filter comprising a 2-tap  
predictor.
- 20     7. The apparatus of claim 1, wherein said sequence detector is a 4-state  
sequence detector and said prediction error filter comprising a 4-tap  
predictor.
- 25     8. The apparatus of claim 1, wherein said sequence detector is a 8-state  
sequence detector, preferably a programmable one, and said prediction  
error filter comprising a 1-tap predictor.
- 30     9. The apparatus of claim 1, either comprising a separate inverse precoder  
fed by the output of said detector, or means for imbedding the inverse  
precoder function into said sequence detector.
10. The apparatus of claim 1, having a transfer function for the signal portion  
of said sample  $y_n$  being different from the transfer function for said  
colored random noise components.

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- 1 11. The apparatus of claim 2. wherein said prediction error filter and/or said  
random access memory has a non-linear transfer characteristic.
12. The apparatus of claim 2. wherein said prediction error filter and/or said  
5 random access memory is programmable.
13. The apparatus of claim 12. comprising means for adaptive setting of said  
programmable prediction error filter and/or said random access memory  
such that its characteristic automatically adjusts as the colored random  
10 noise on said data channel changes.
14. The apparatus of claim 1 or 2 being either completely or partially  
implemented in analog circuit technology.
- 15 15. The apparatus of claim 1 or 2. wherein said feedback means comprise a  
feedback finite-impulse response (FIR) filter.
16. The apparatus of claim 1. comprising:
- a memoryless detector for determining a nominal expected value,
  - 20 • means for estimating the noise contribution in a plurality of past  
digital samples by subtracting the value of a sample from said  
nominal expected value,
  - means for predicting the noise contribution of the current received  
sample using the noise contribution in a plurality of said past digital  
25 samples,
  - means for adding or subtracting the predicted noise contribution  
to/from the current received sample, and
  - means for feeding the output of the means for adding or subtracting  
to a conventional partial response maximum likelihood (PRML) or  
30 extended partial-response maximum likelihood (EPRML) detector.

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- 1 17. The apparatus of any of the claims 1-16, wherein said channel is a data transmission channel and said apparatus is employed for estimation of data received via said data transmission channel.
- 5 18. Direct access storage device, in particular a disk drive, comprising direct access storage means and an apparatus for noise predictive maximum likelihood (NPML) sequence detection according to any of the claims 1 - 16, said channel being a storage channel for feeding signals retrieved from said direct access storage means to said apparatus.
- 10 19. The apparatus of any of the claims 1-16, being integrated into (piggy-backed) on a partial-response maximum likelihood (PRML) or extended partial-response maximum likelihood (EPRML) system.
- 15 20. The apparatus of claim 19, wherein a digital equalizer, being part of said partial-response maximum likelihood (PRML) or extended partial-response maximum likelihood (EPRML) system, and said prediction error filter are replaced by a single finite-impulse response filter having the property to whiten said colored random noise components of said sample  $y_n$ .
- 20 21. The apparatus of any of the claims 1-16, being connected to a partial response maximum likelihood (PRML) or an extended partial-response maximum likelihood (EPRML) detector such that one can switch from a first state where the apparatus and either one of said detectors operate concurrently to a second state where either said partial response maximum likelihood (PRML) or extended partial-response maximum likelihood (EPRML) detector, or said apparatus processes said sample  $y_n$  received via said channel.
- 25 22. Method for noise predictive maximum likelihood (NPML) sequence detection by means of a sequence detector having a state complexity being equal to  $2^K$ , with  $0 \leq K \leq L$ , said method comprising the steps:
- 30

- 1 a) whitening colored random noise components of a sample  $y_n$  received  
via a channel, said sample  $y_n$  comprising a generalized partial  
response signal component corrupted by said colored random noise  
components, leading to a signal  $z_n$  then having L  
5 intersymbol-interference components.
- b) eliminating K of said L intersymbol-interference components by  
carrying out a branch metric computation based on a 2<sup>n</sup>-State Viterbi  
algorithm to determine the most likely sequence corresponding to  
said sample  $y_n$ , and
- 10 c) if there are any intersymbol-interference components left, i.e., if  
 $L - K > 0$ ,
- precomputing intersymbol-interference cancellation terms.
  - storing said intersymbol-interference cancellation terms in  
storage means.
  - 15 • retrieving said intersymbol-interference cancellation terms from  
said storage means by applying path history decisions from said  
sequence detector as addresses to said memory means,
  - cancelling said L-K intersymbol-interference components in said  
signal  $z_n$  using said intersymbol interference cancellation terms.
- 20
23. The method of claim 22, comprising the steps:
- estimating the noise contribution in a plurality of past digital samples  
by subtracting the value of a sample from a nominal expected value,  
said nominal expected value being determined by simple  
25 memoryless detection,
  - using the noise contribution in a plurality of said past digital samples  
to predict the noise contribution of the current received sample,
  - adding or subtracting the predicted noise contribution to/from the  
current received sample, and
  - 30 • feeding the output of the last step to a conventional partial response  
maximum likelihood (PRML) or extended partial-response maximum  
likelihood (EPRML) detector.

- 1     24. The method of claim 22, wherein said sample  $y_n$  received via said channel  
is a partial-response signal and in particular a partial-response class-4  
(PR4) shaped signal.

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1/27

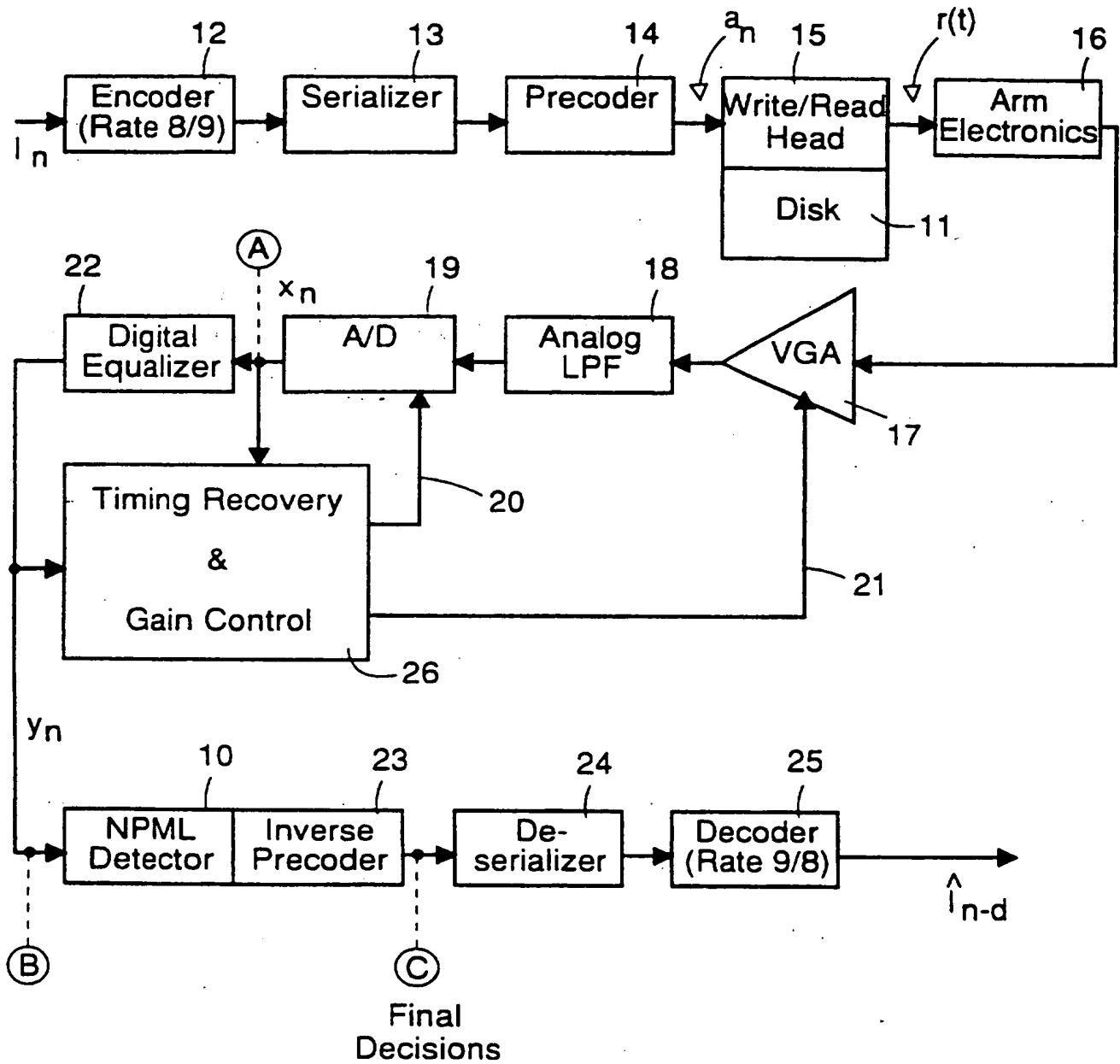


FIG. 1

2/27

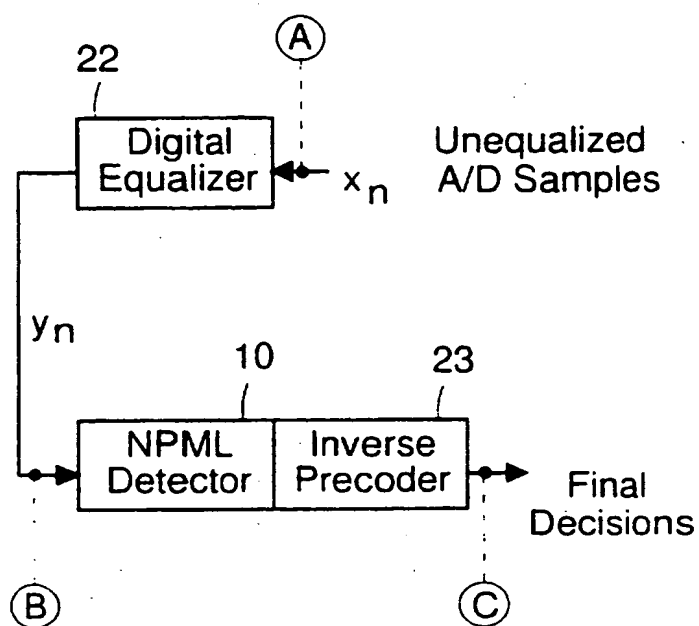


FIG. 2A

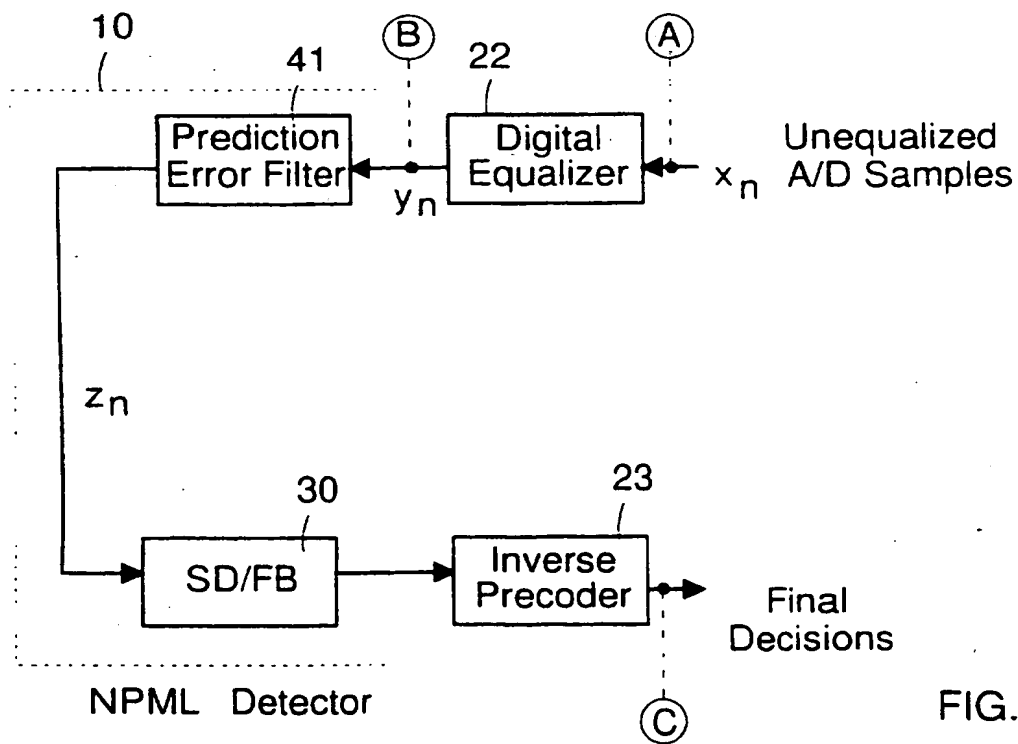


FIG. 2B

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3/27

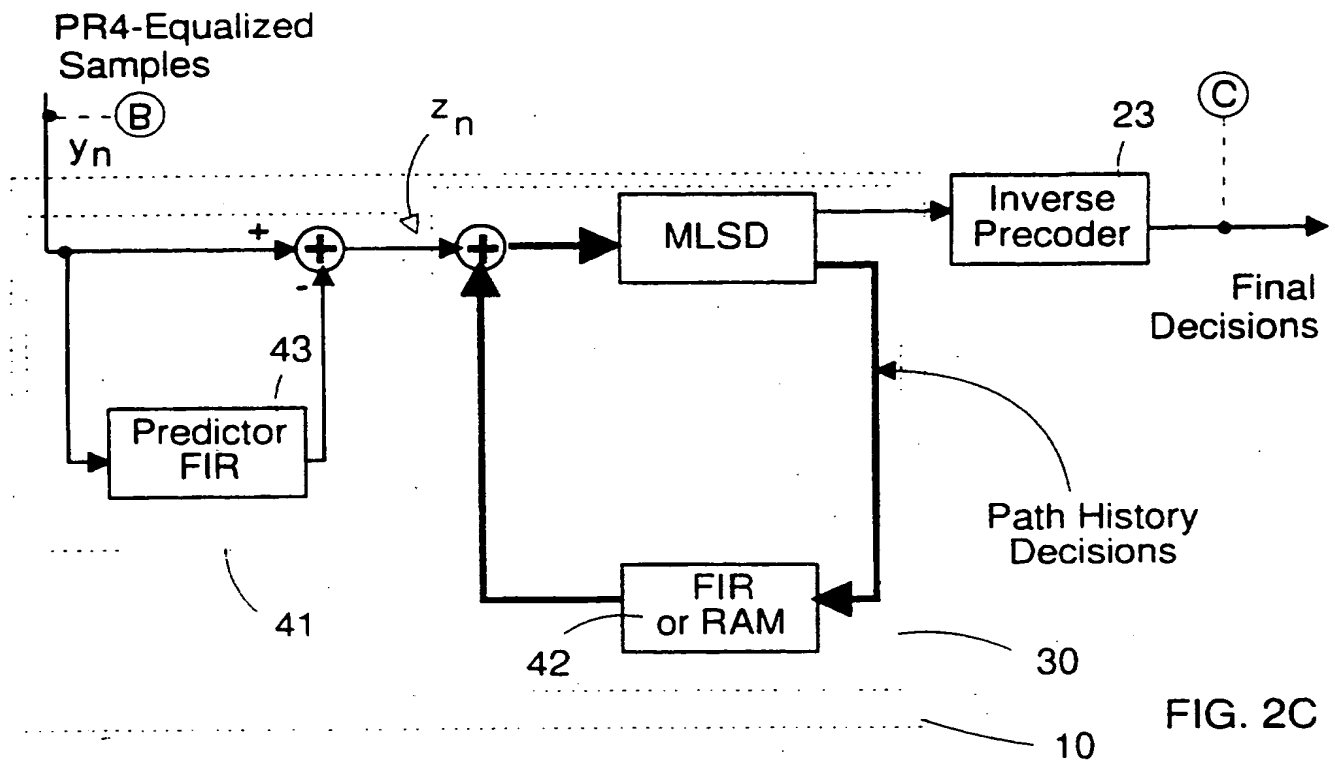


FIG. 2C

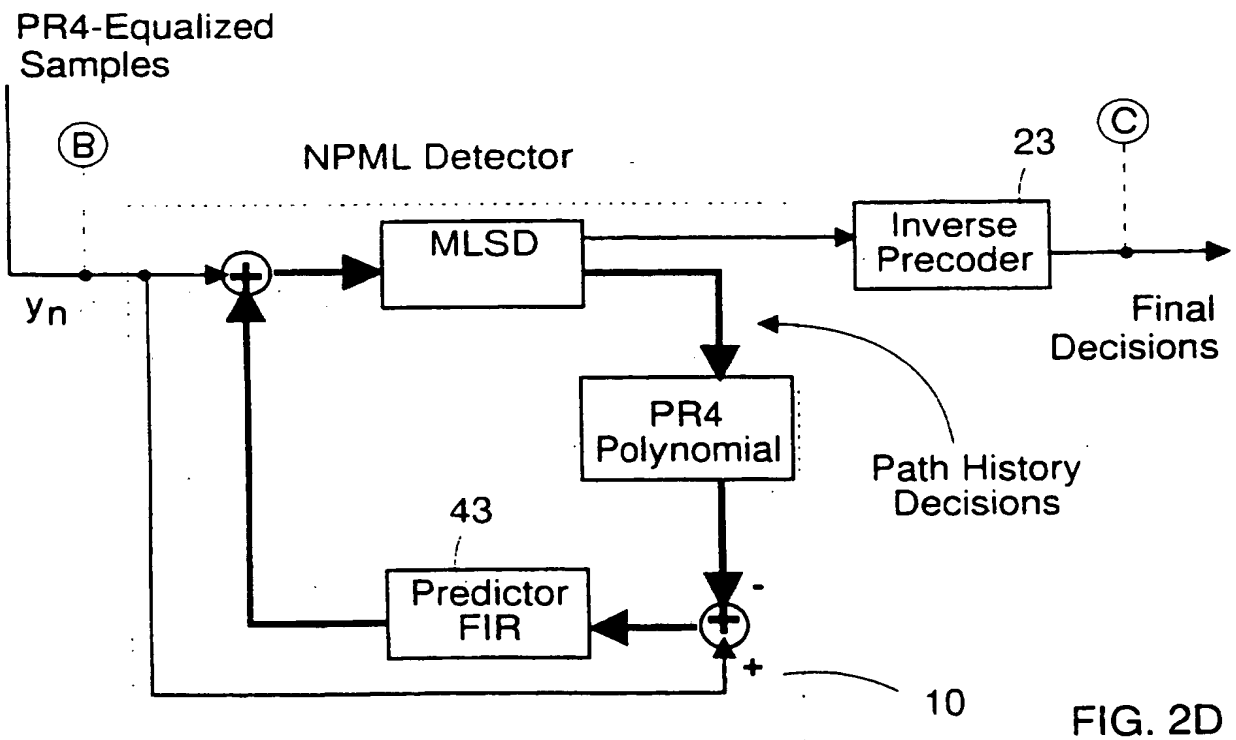


FIG. 2D

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ISA/EP

4/27

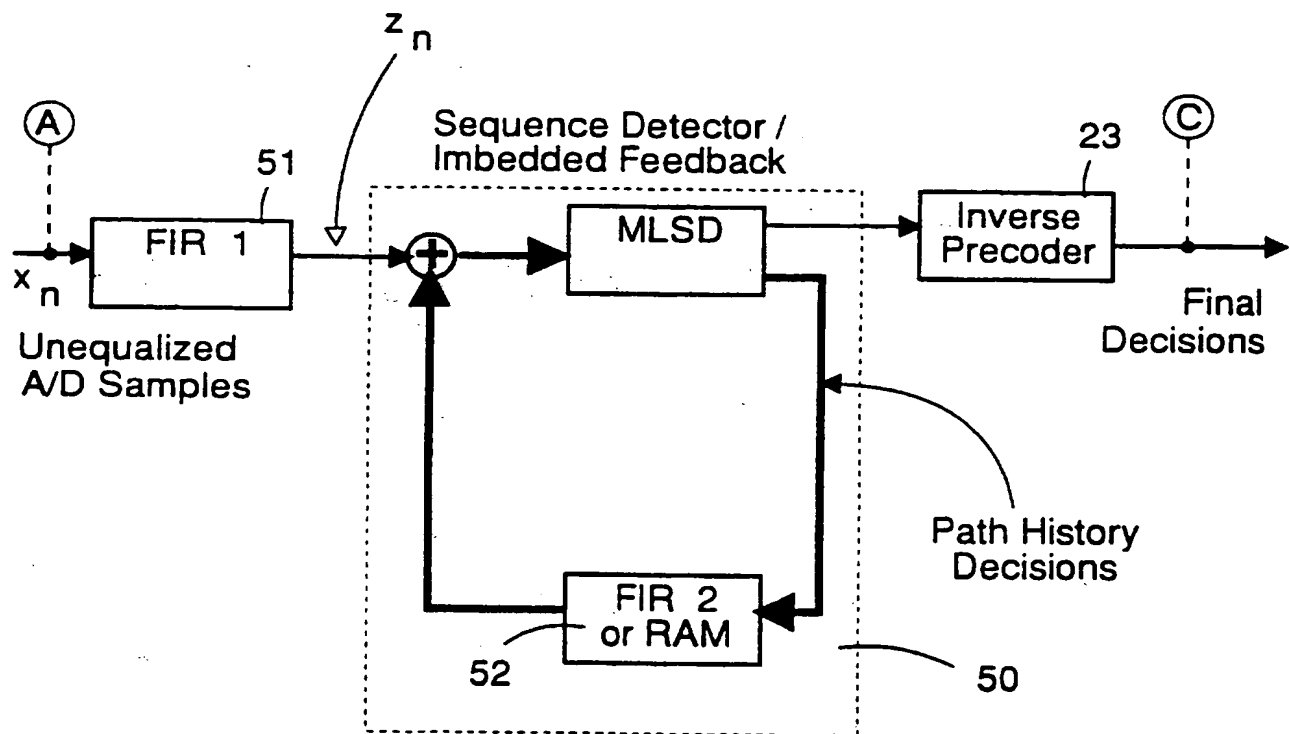


FIG. 2E

5/27

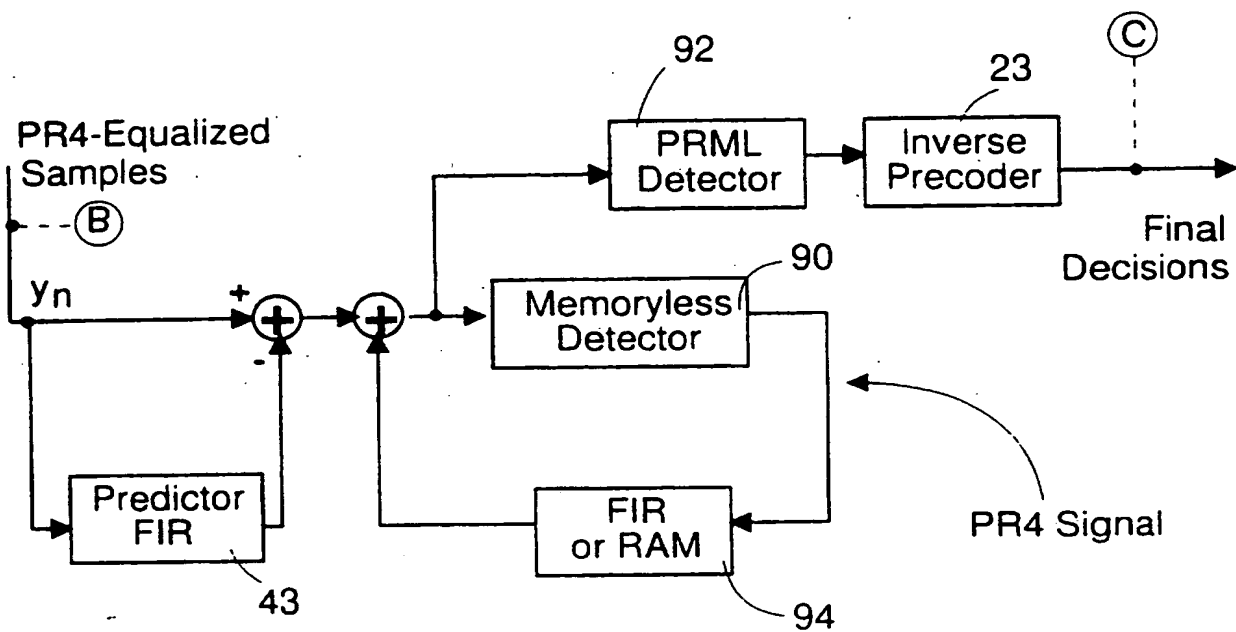


FIG. 3A

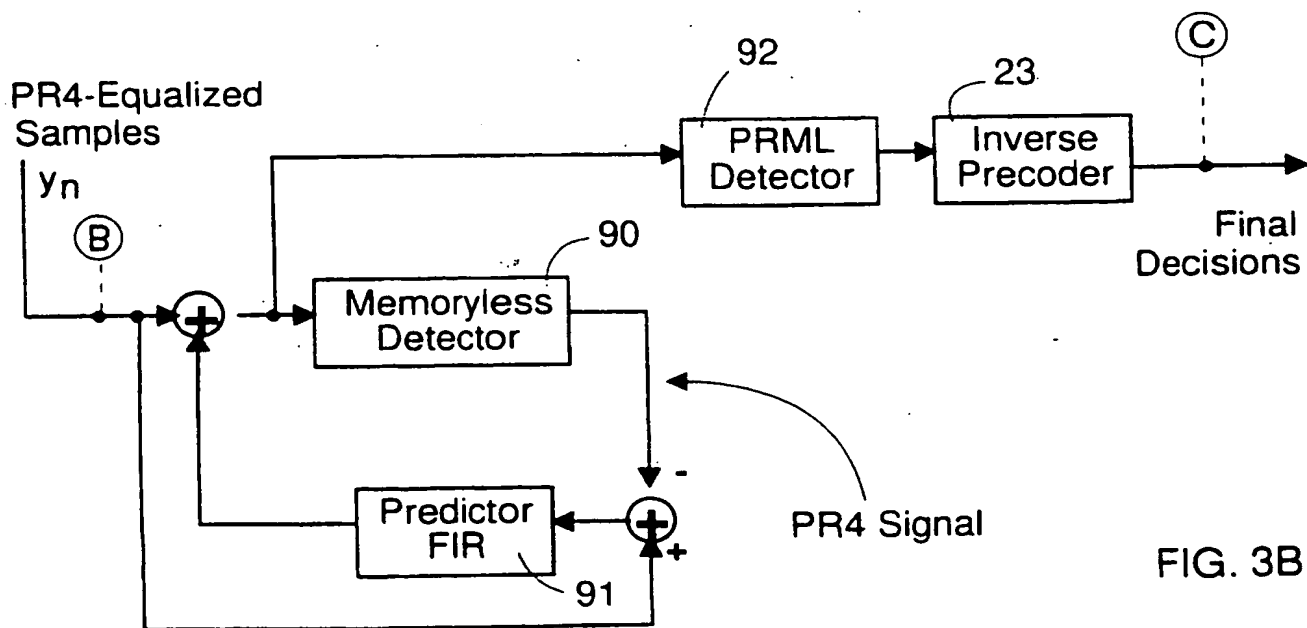


FIG. 3B

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6/27

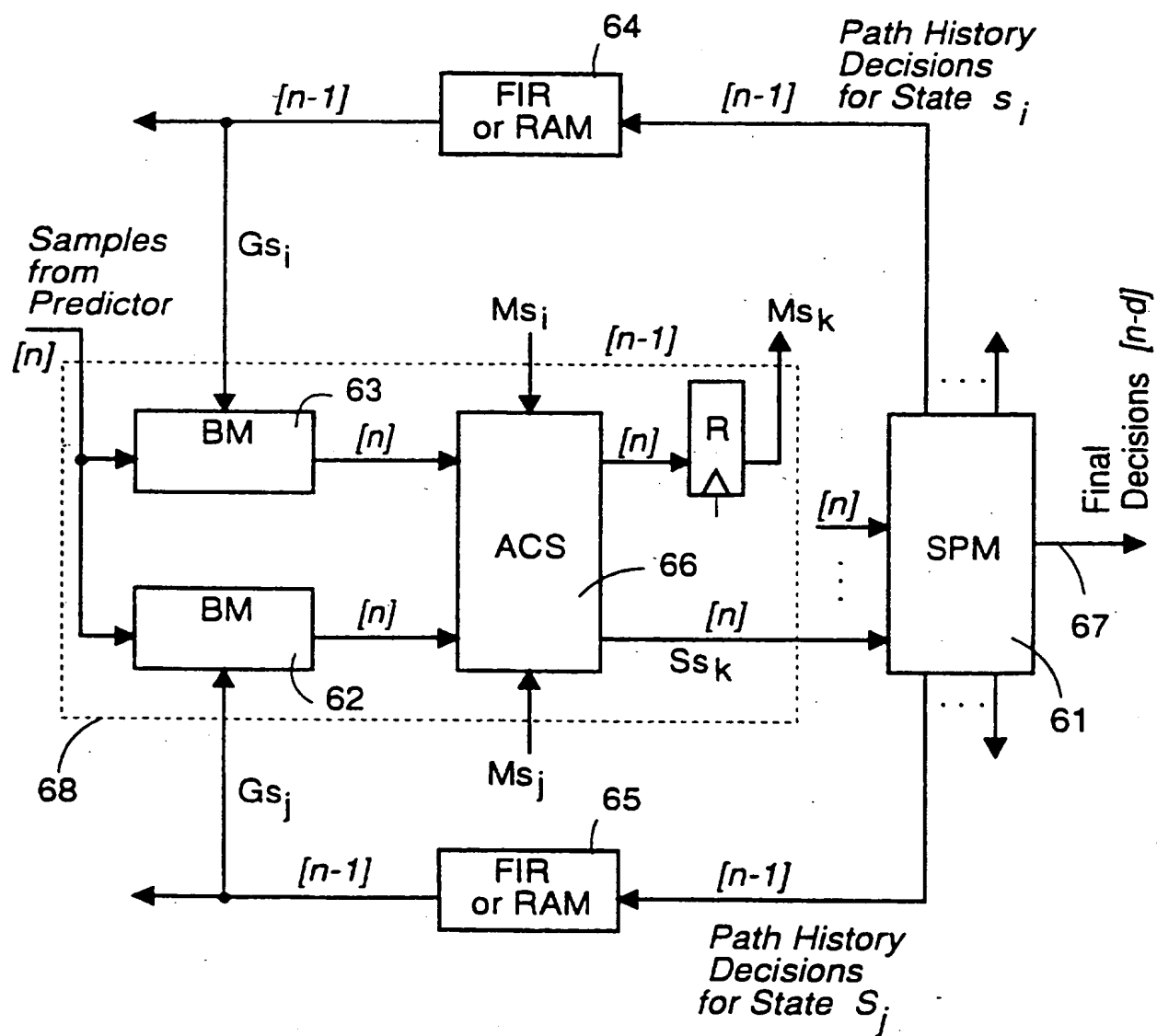


FIG. 4

7/27

## NPML : 2-State Trellis

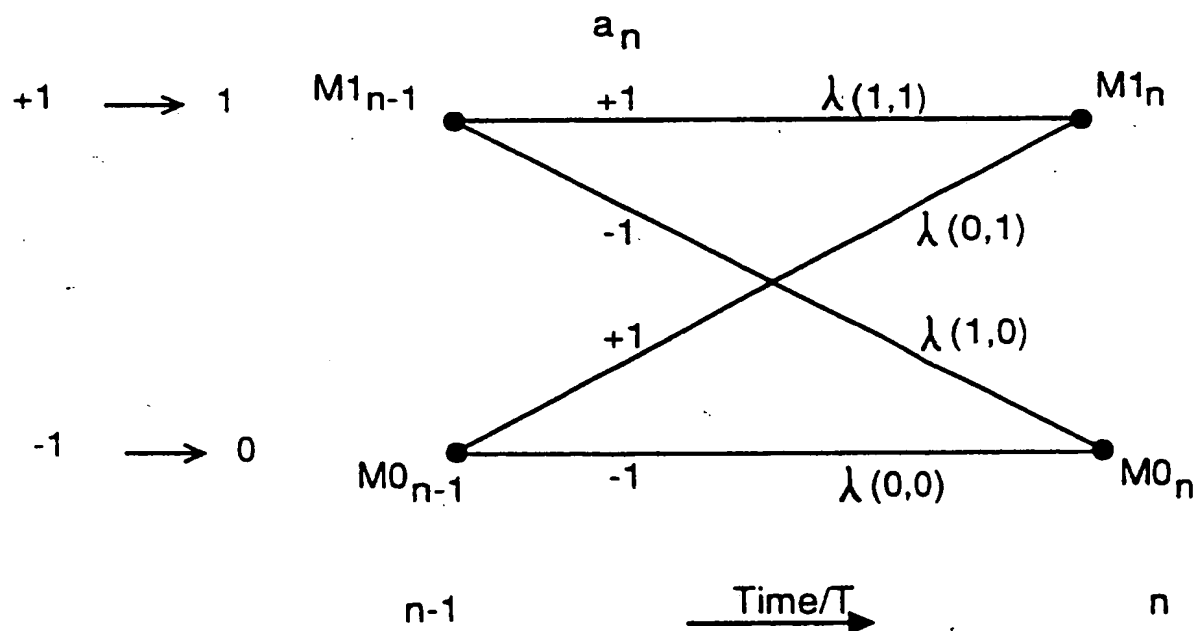
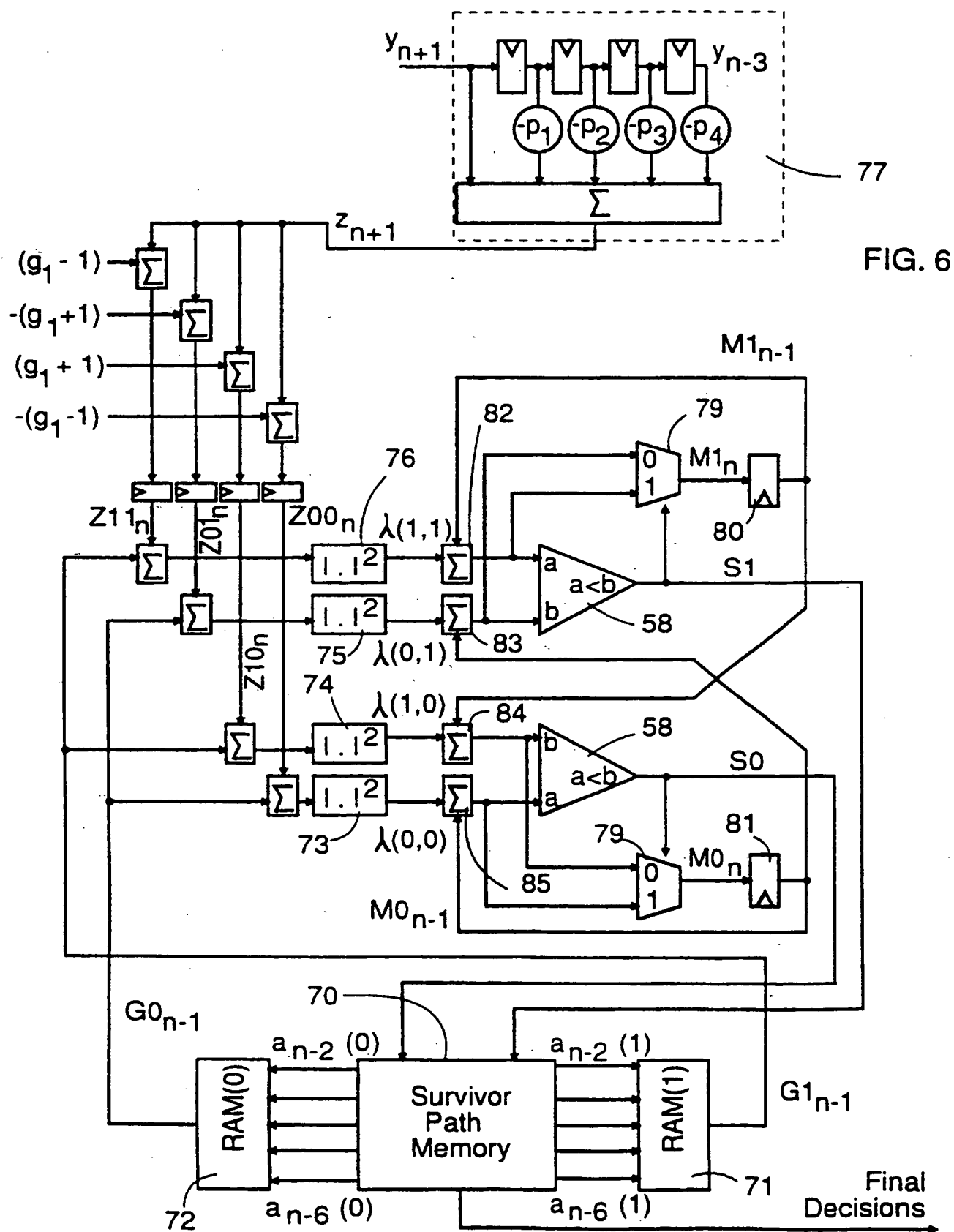
 $a_{n-1} \longrightarrow \text{state}$ 

FIG. 5

8/27





9/27

## NPML : 2-State Trellis (Difference Metric)

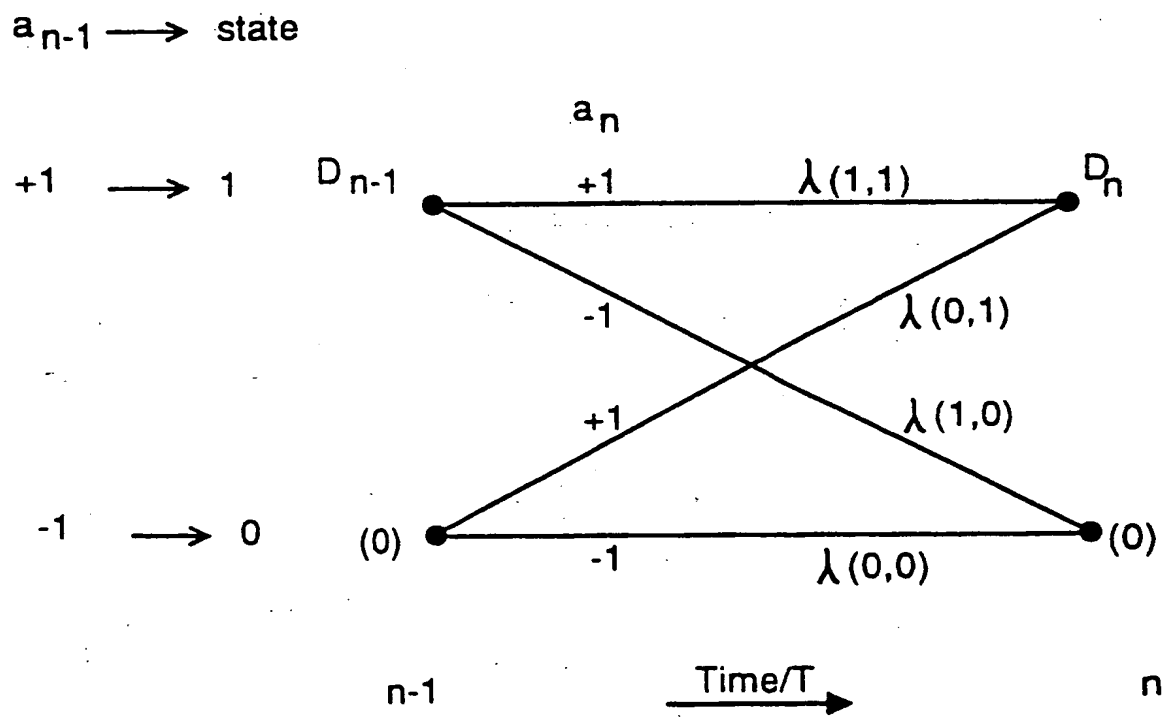
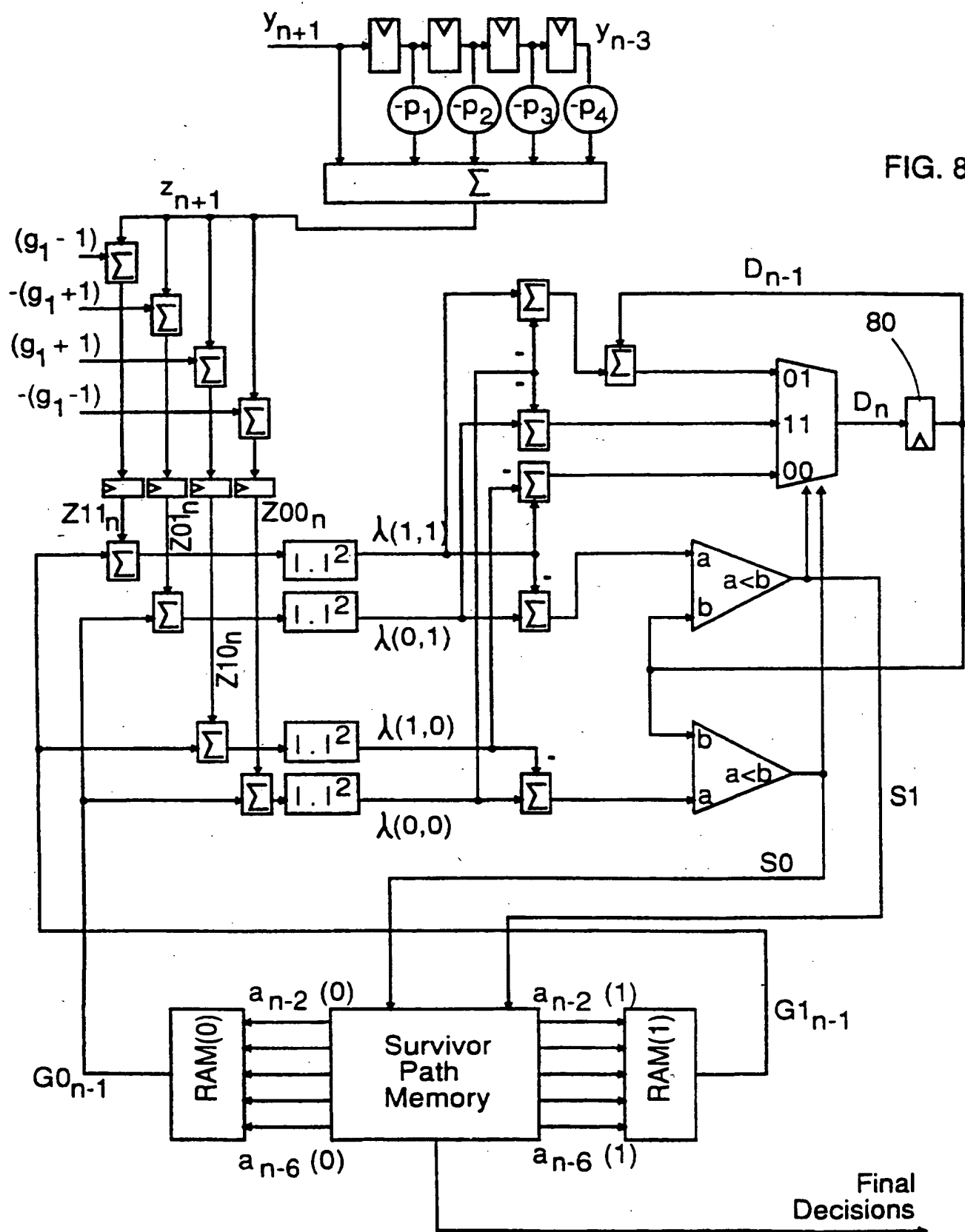


FIG. 7

10/27



11/27

## NPML : 4-State Trellis

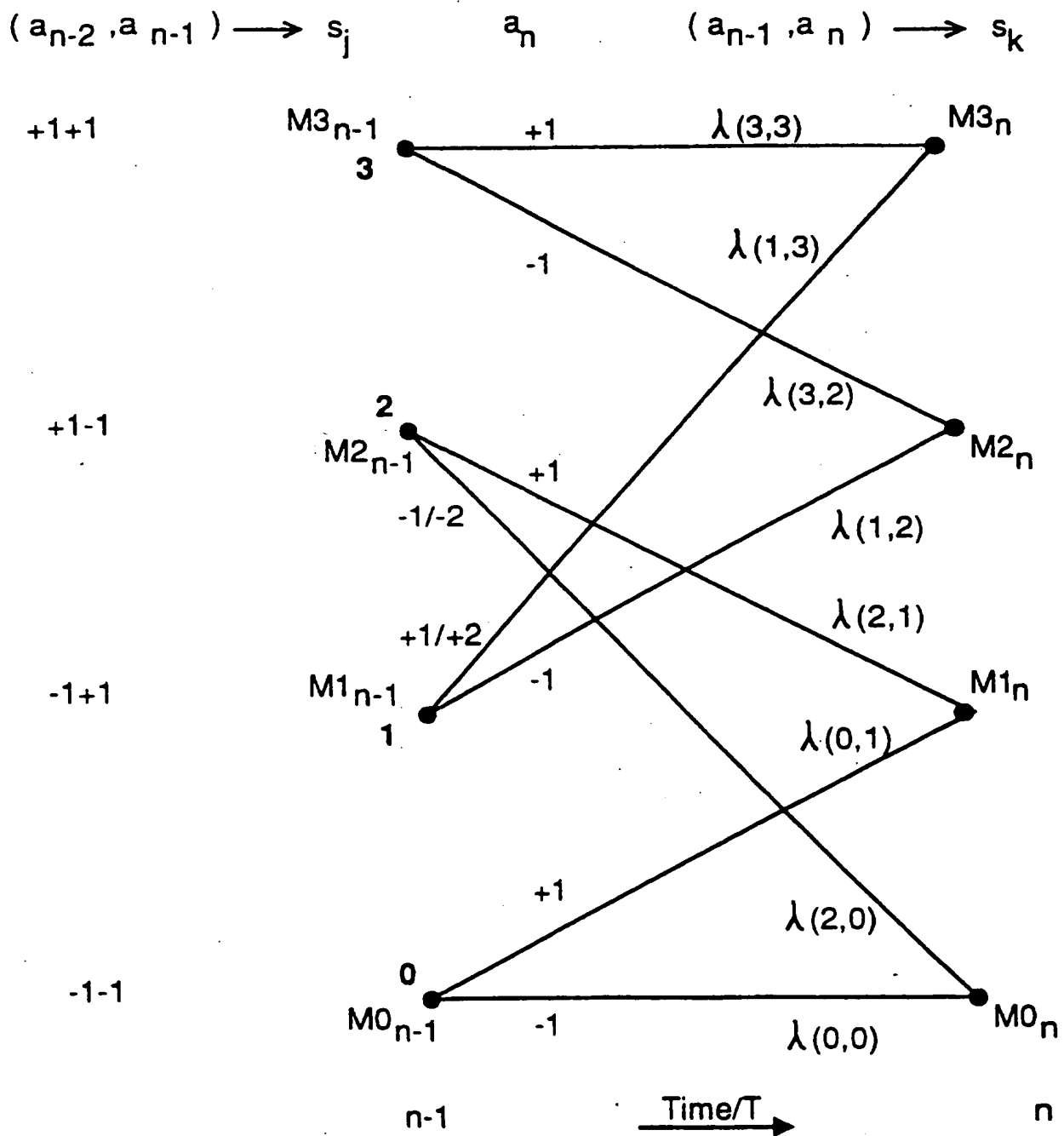
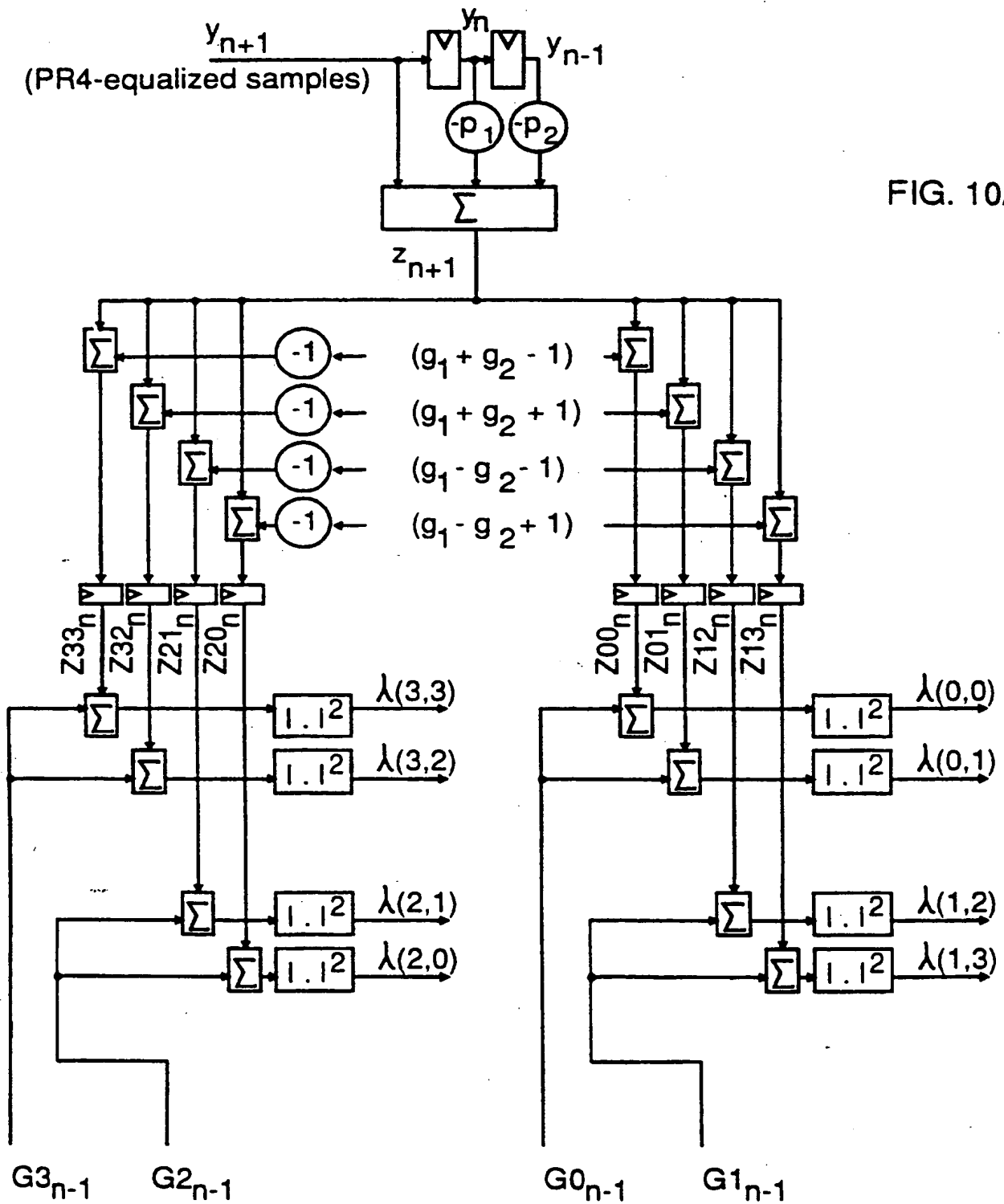


FIG. 9

1.2/27



13/27

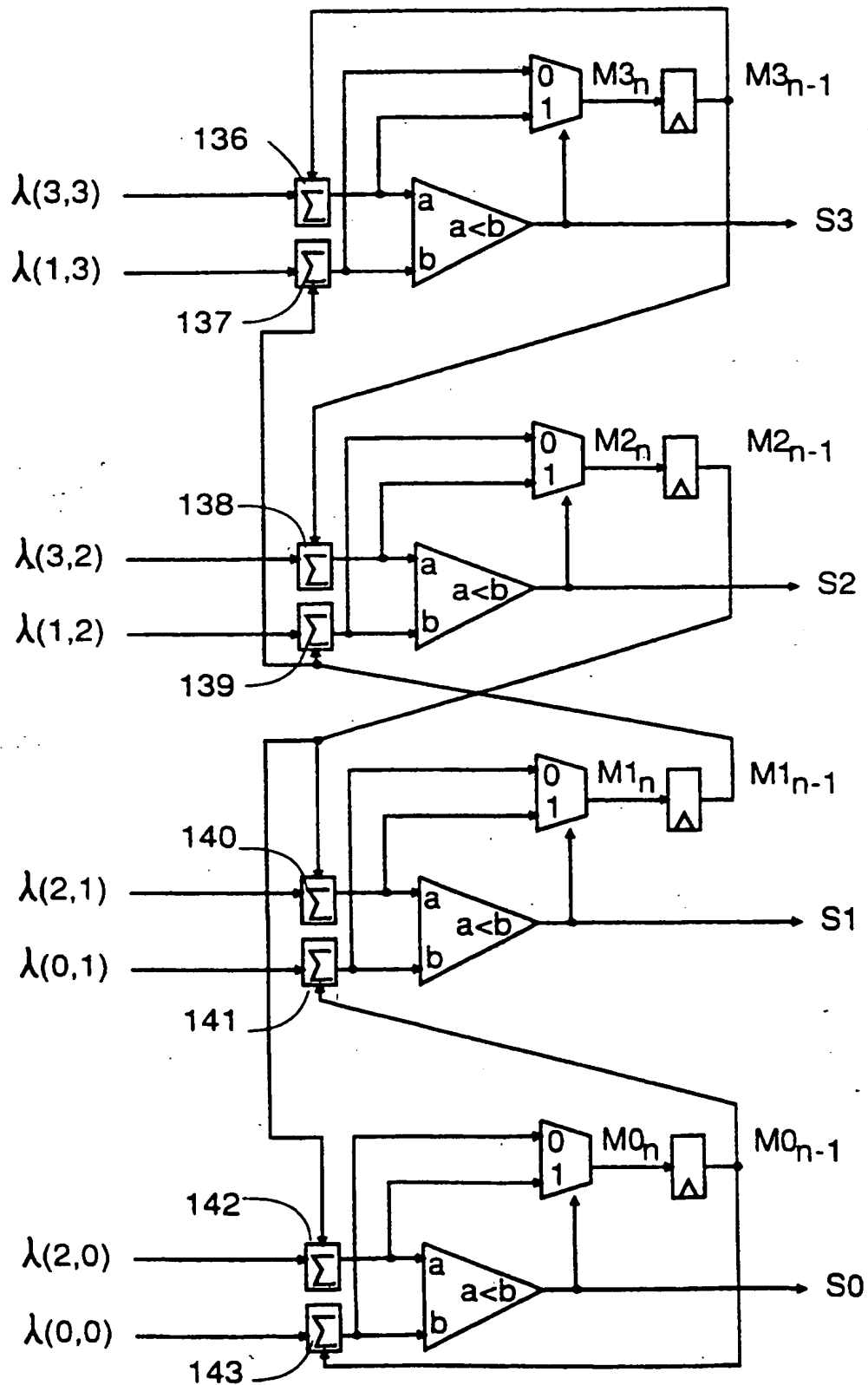
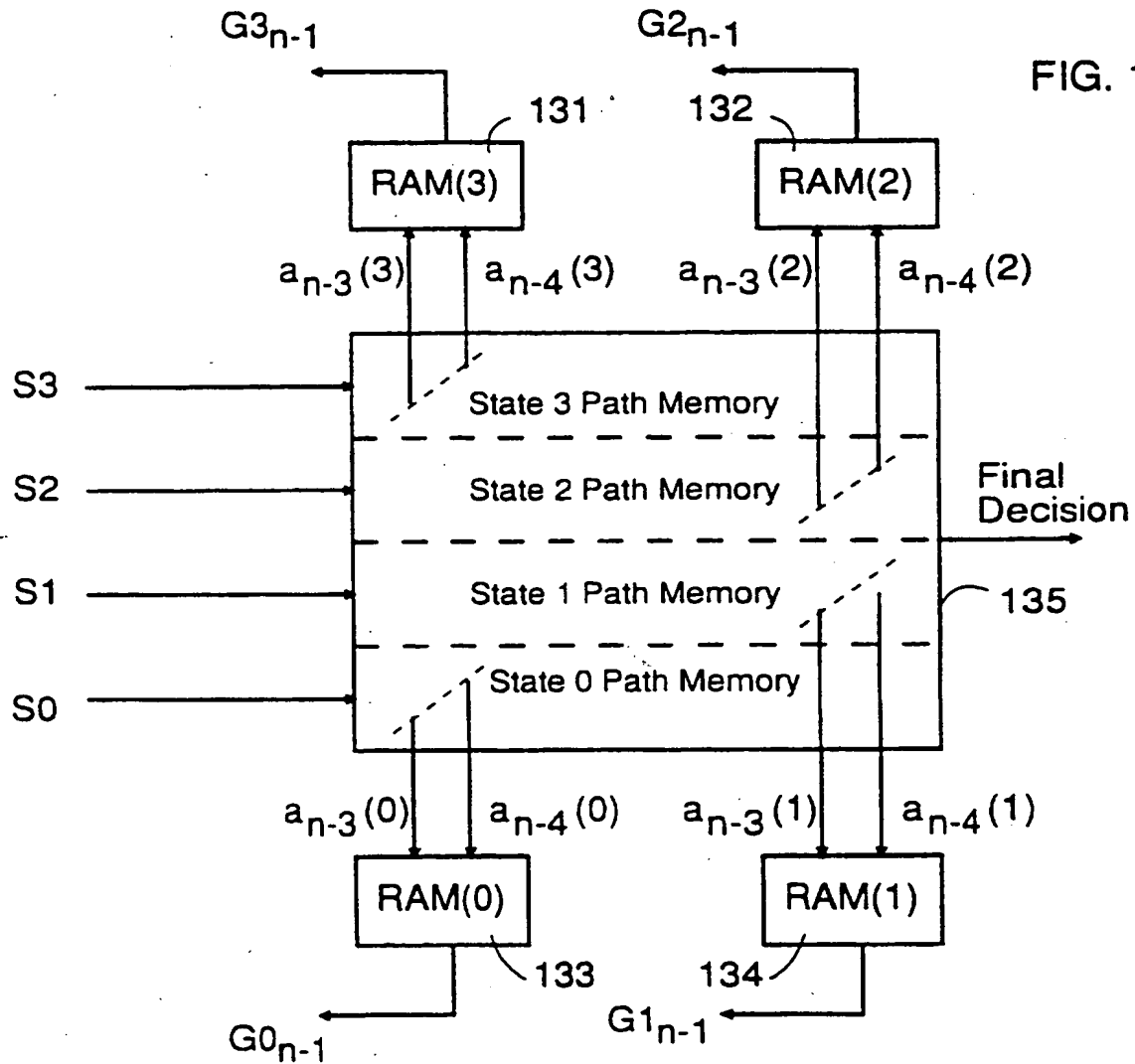


FIG. 10B

14/27

FIG. 10C



15/27

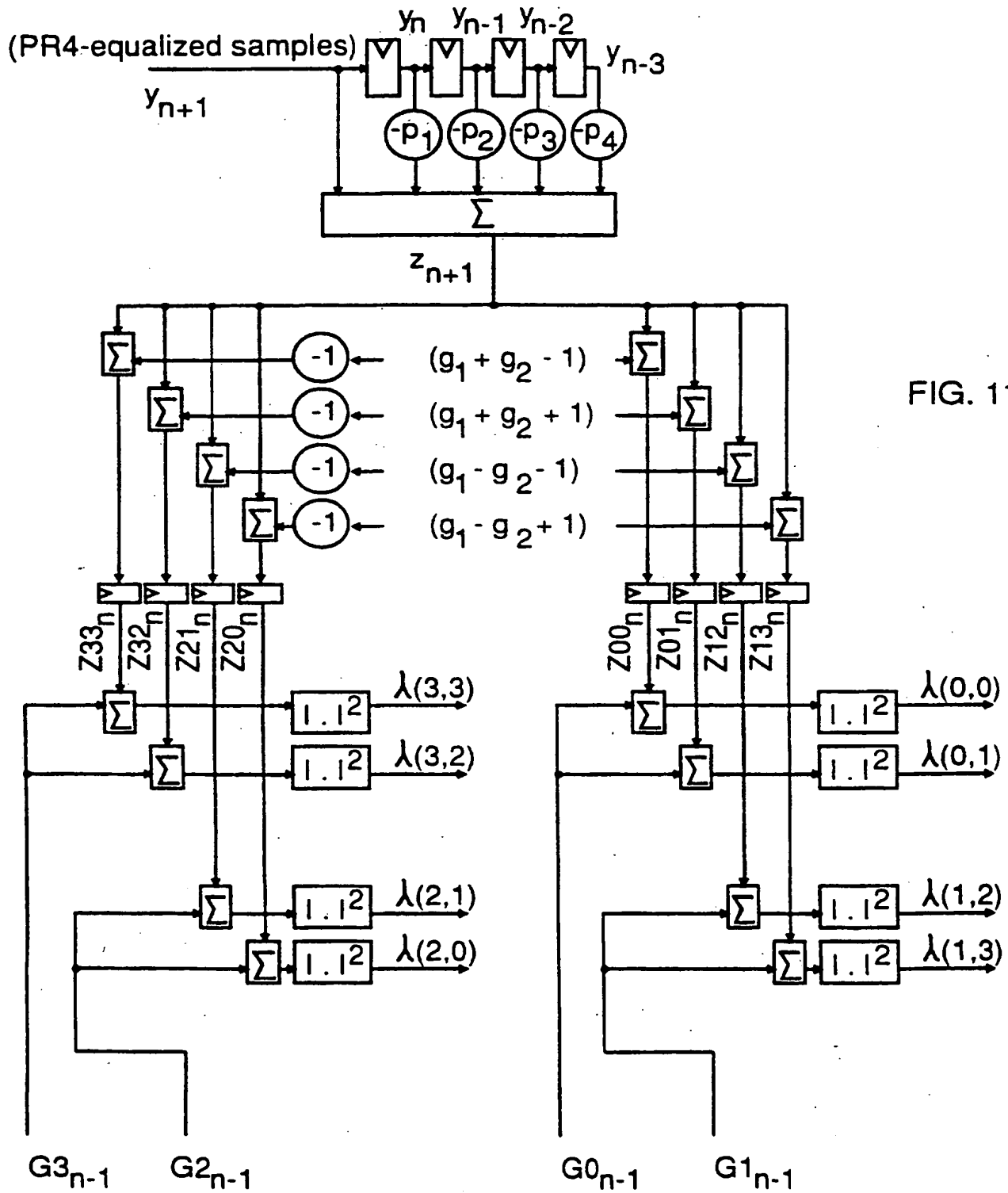


FIG. 11A

16/27

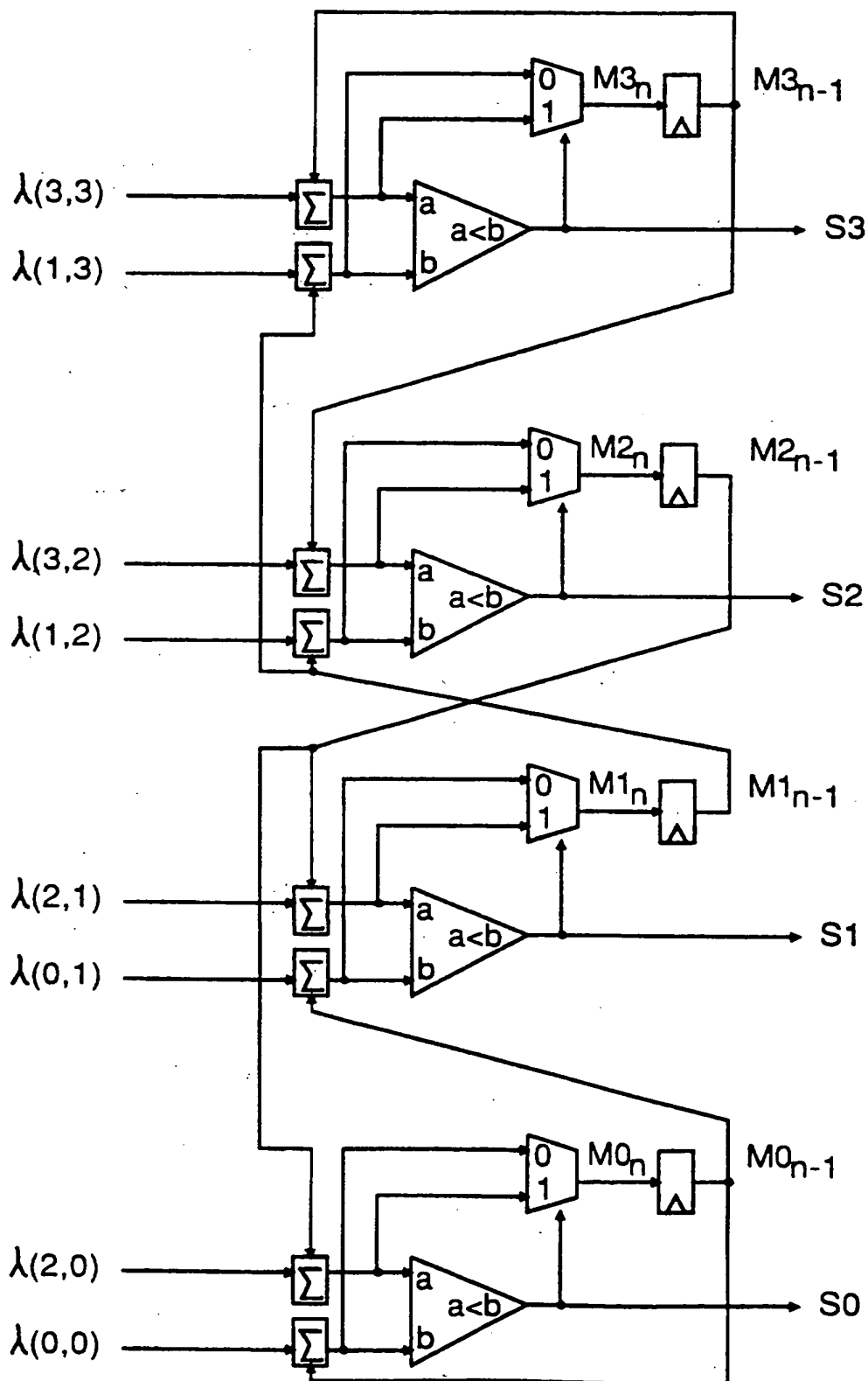
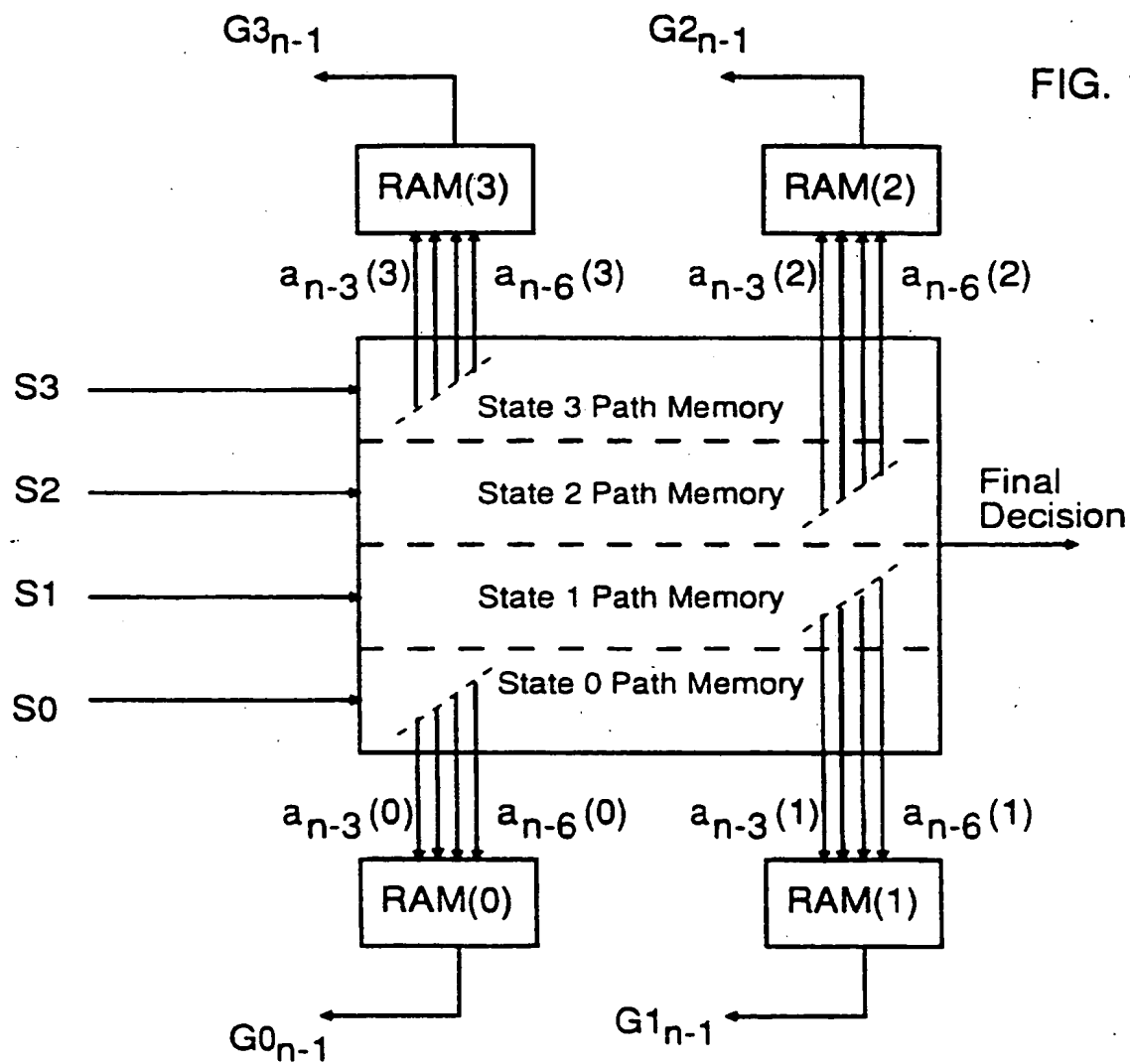


FIG. 11B



17/27

FIG. 11C



18/27

## NPML : 8-State Trellis (N=1, K=3)

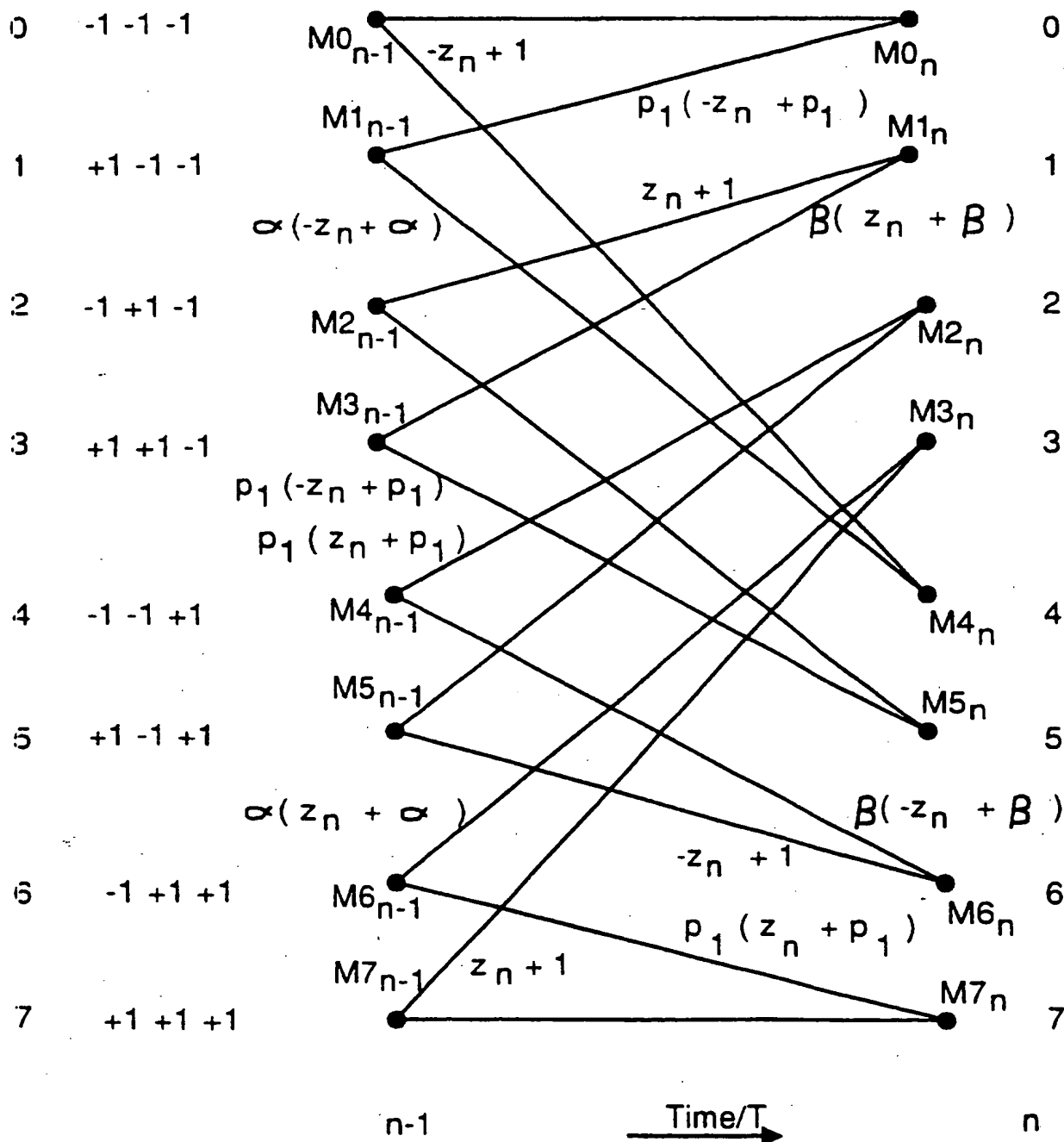
 $s_j \leftarrow (a_{n-3}, a_{n-2}, a_{n-1}) \quad (a_{n-2}, a_{n-1}, a_n) \rightarrow s_k$ 


FIG. 12

19/27

## NPML : Transformed 8-State Trellis (N=1, K=3)

$$s_j \leftarrow (a_{k-3}, a_{k-2}, a_{k-1})$$

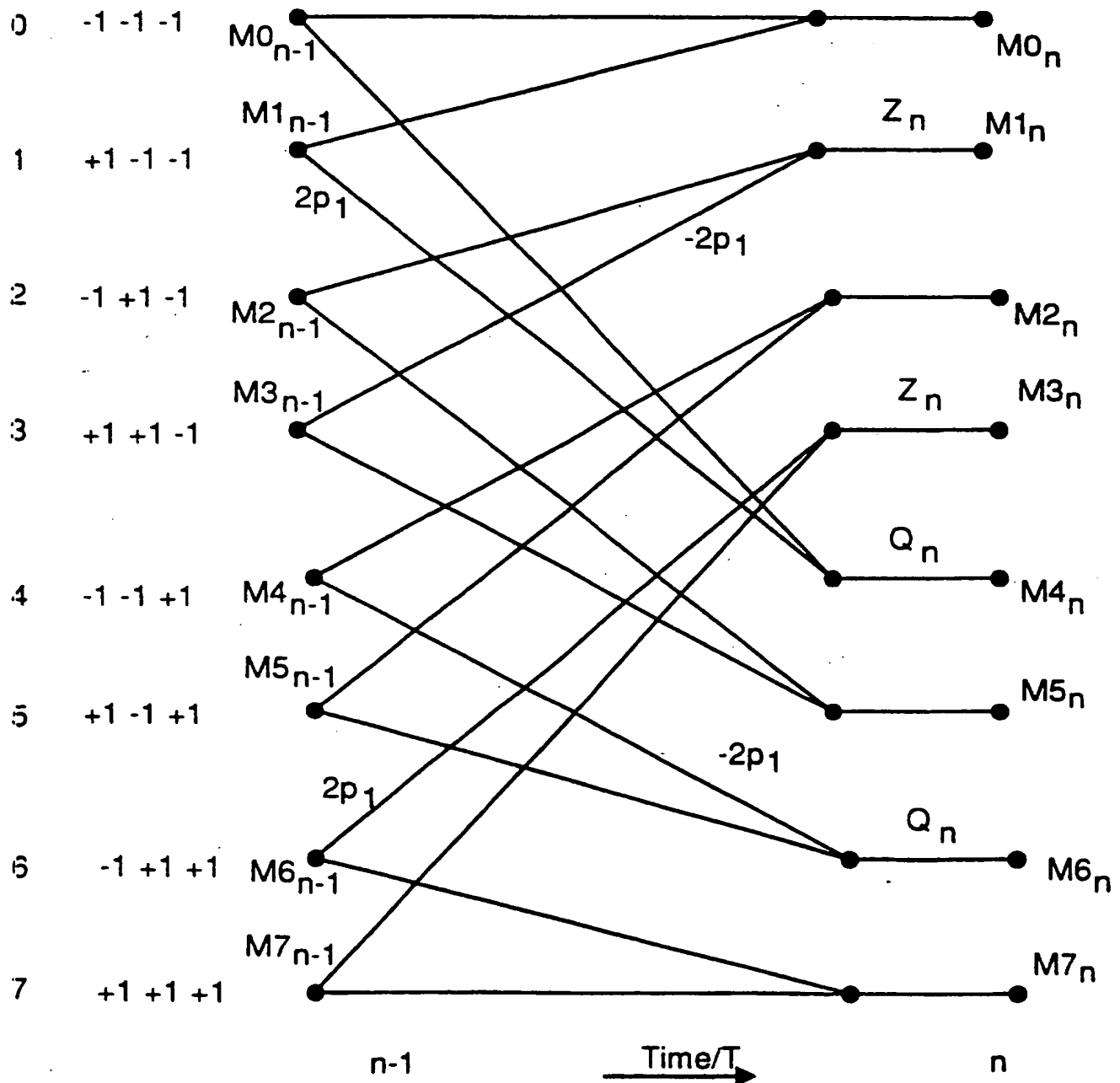
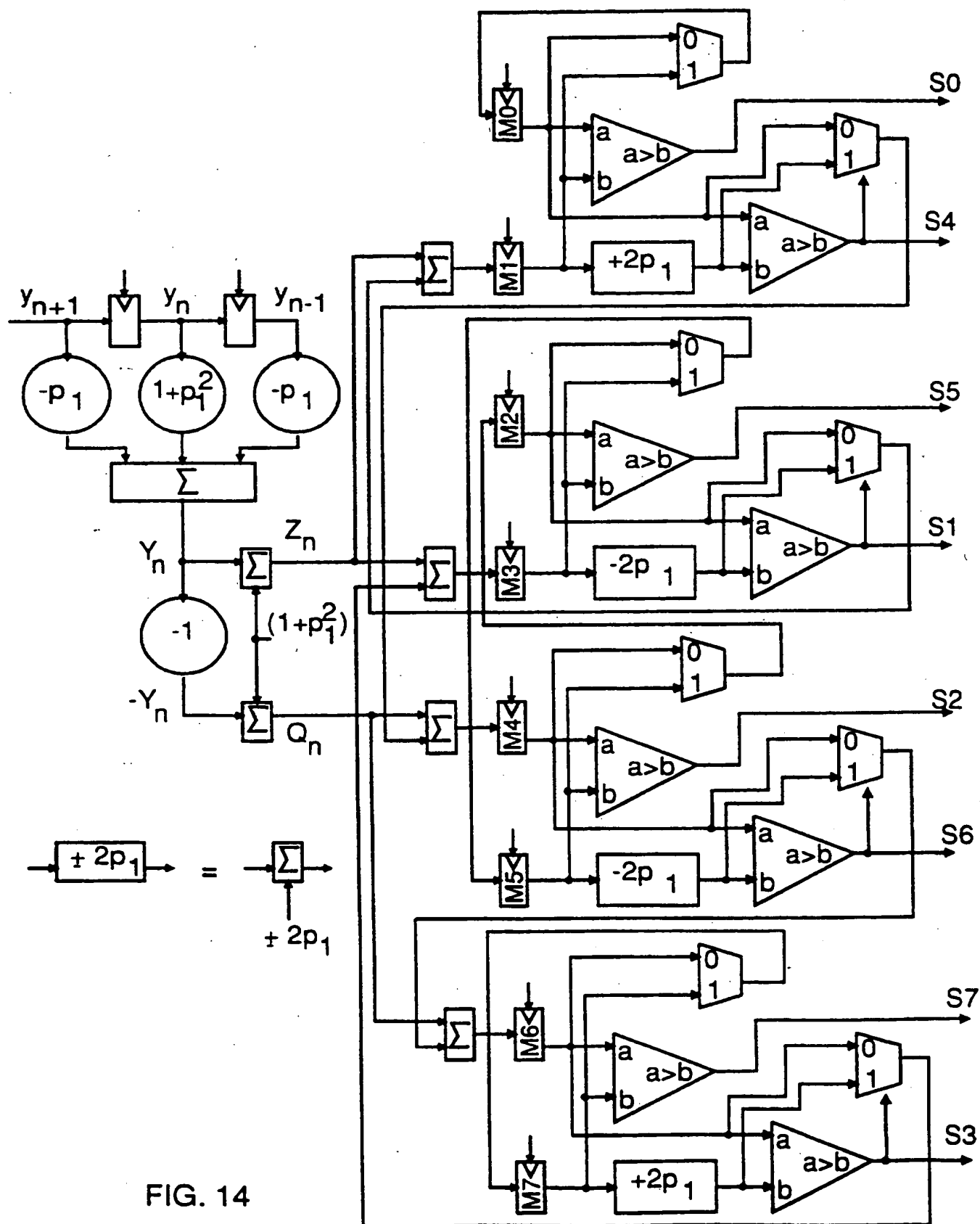


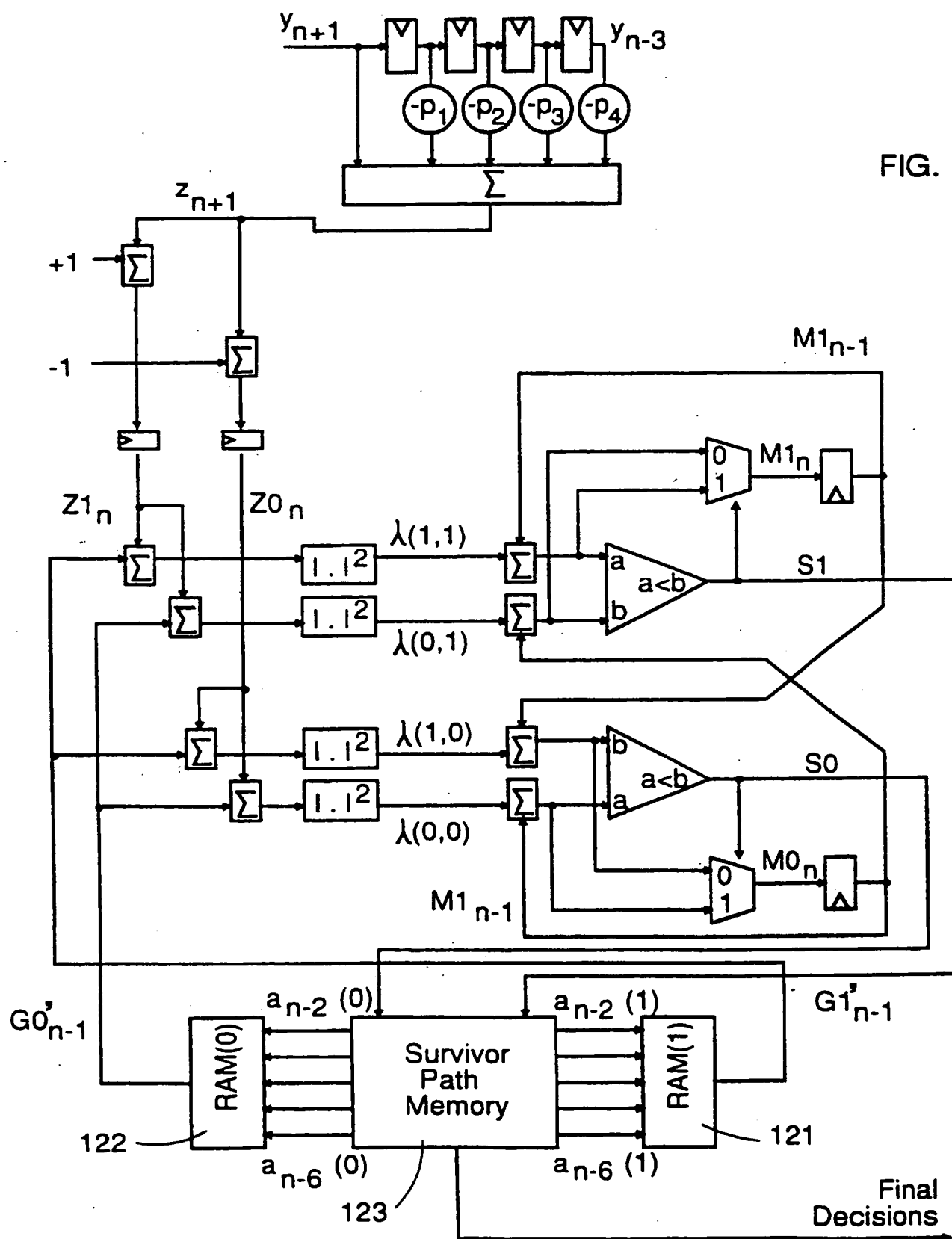
FIG. 13

20/27



21/27

FIG. 15



22/27

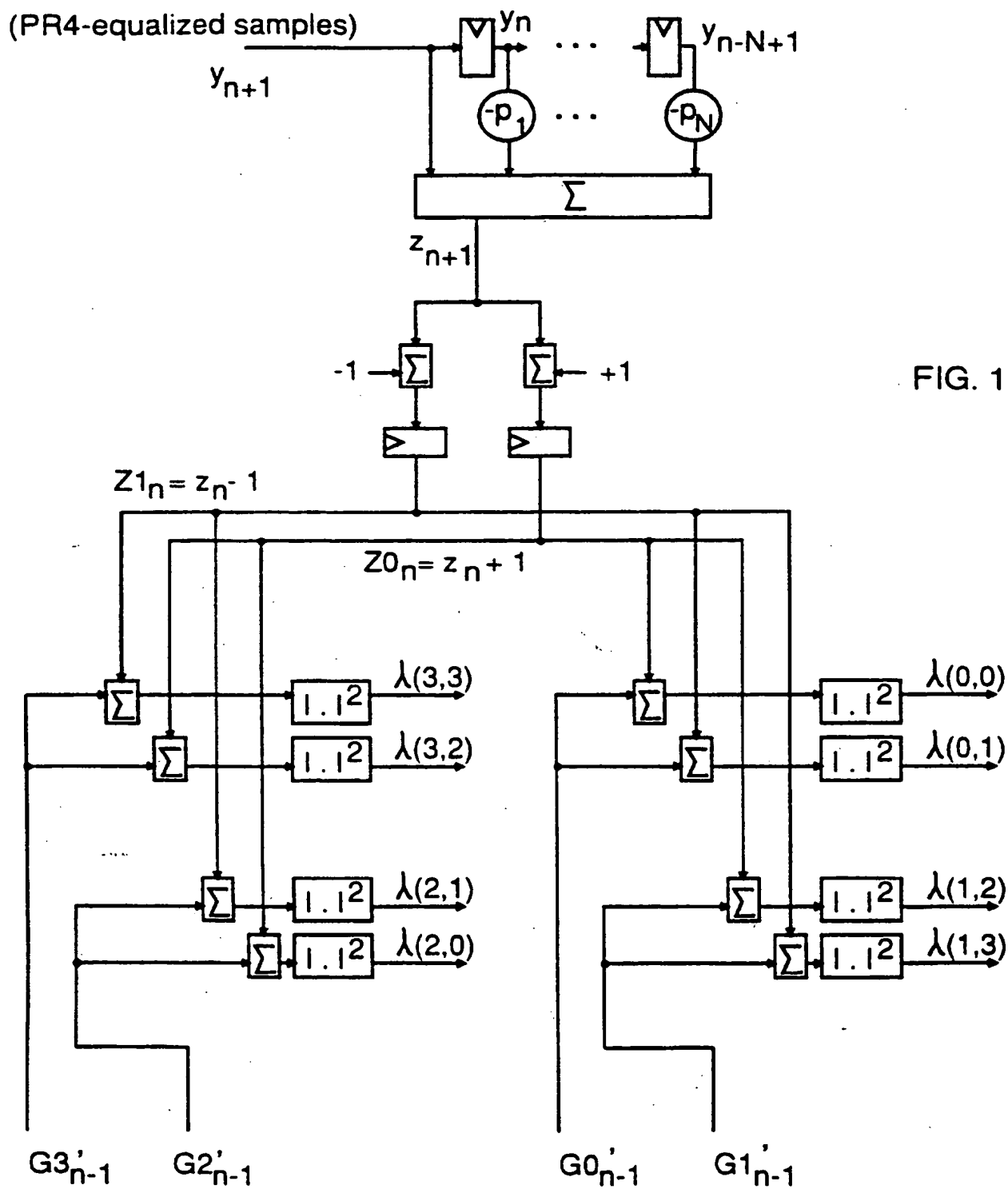


FIG. 16A

23/27

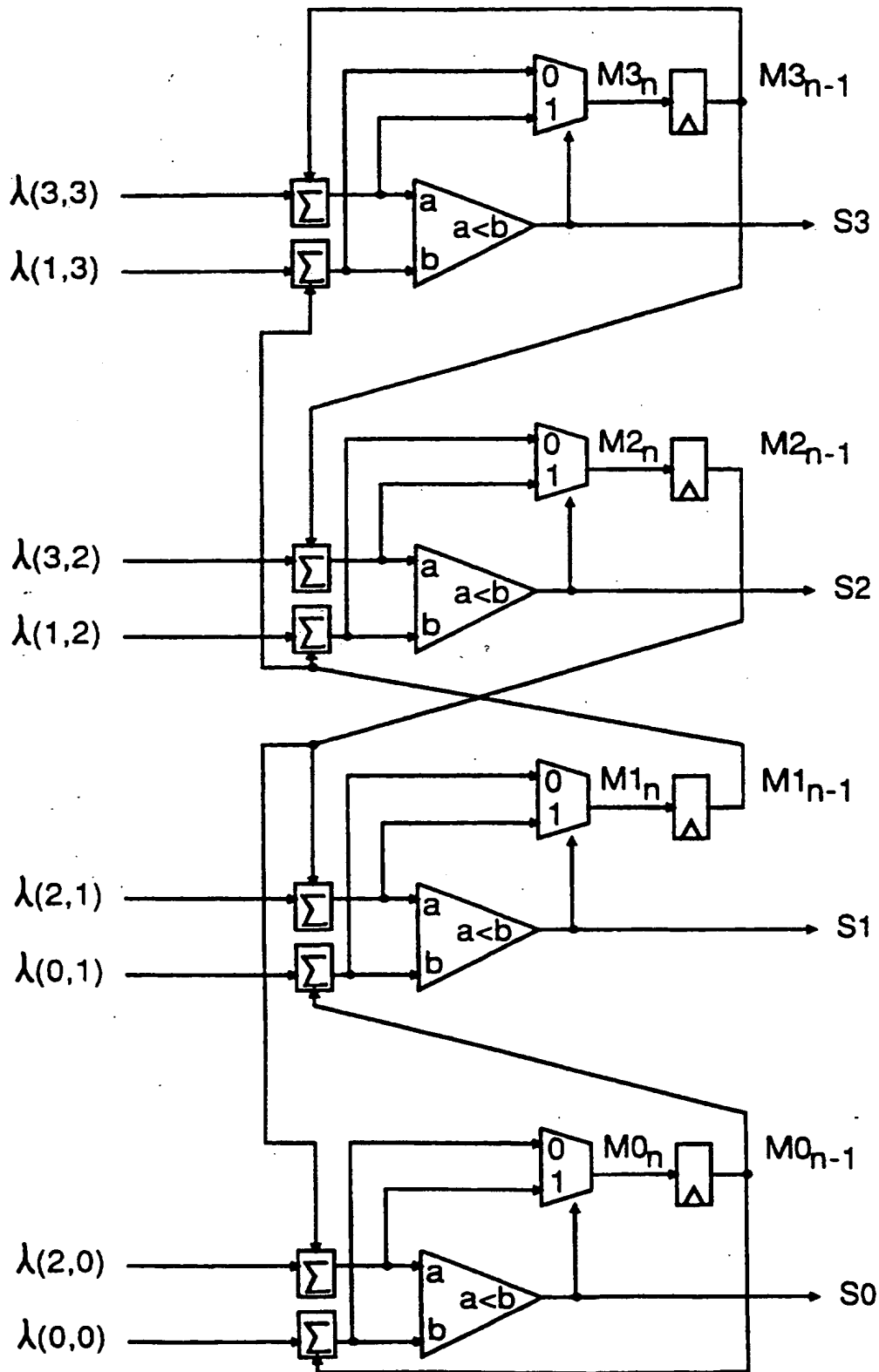
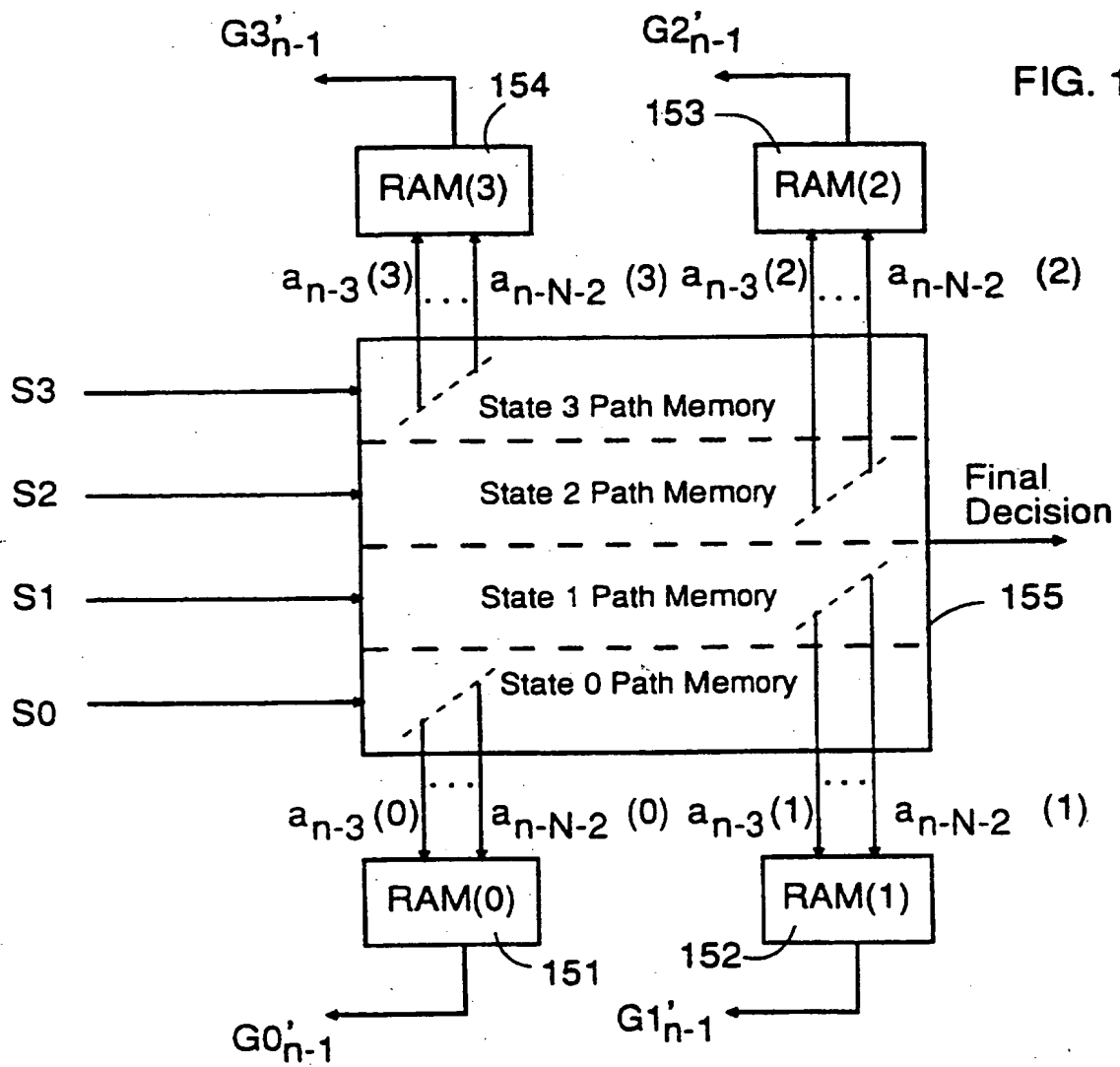


FIG. 16B

24/27

FIG. 16C





25/27

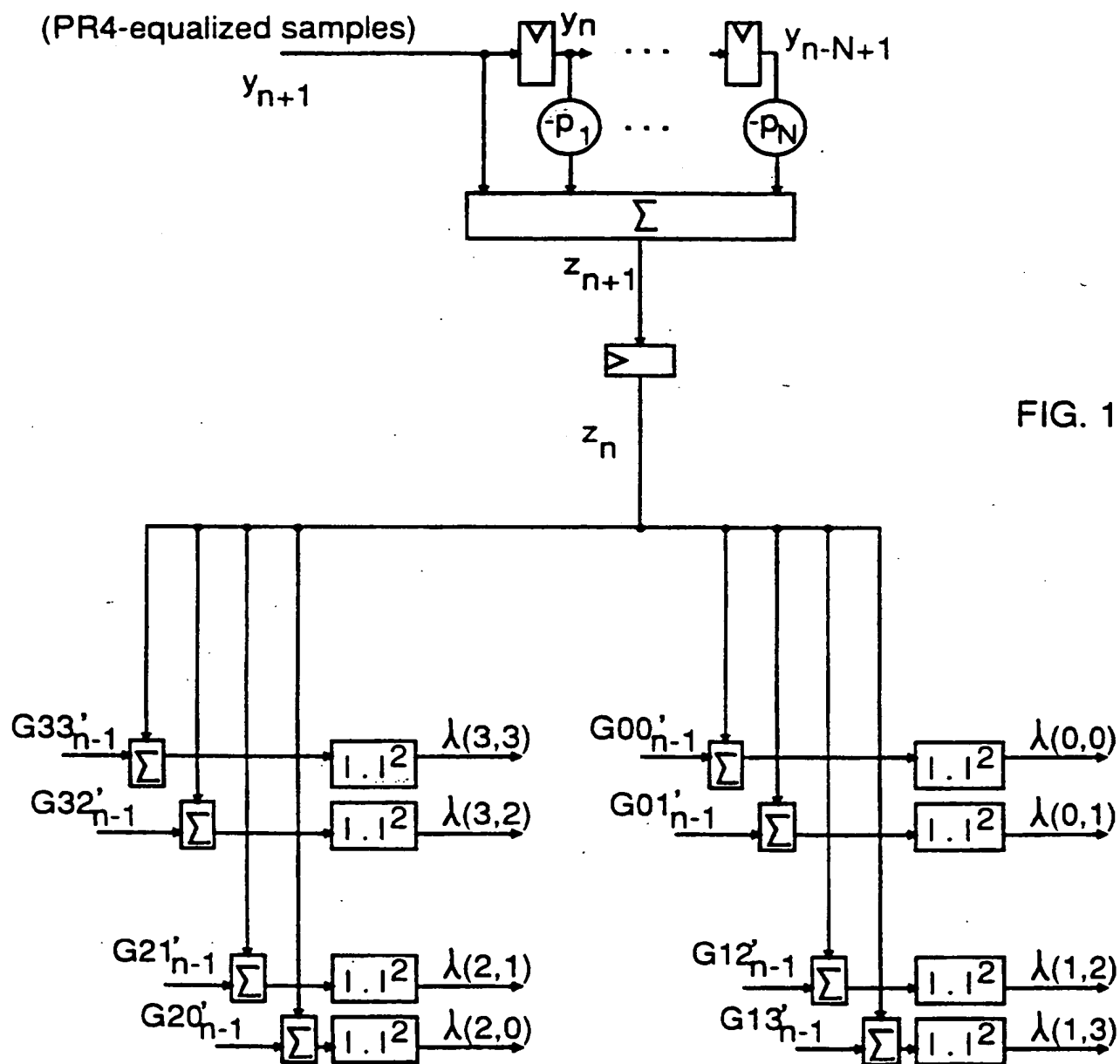


FIG. 17A

26/27

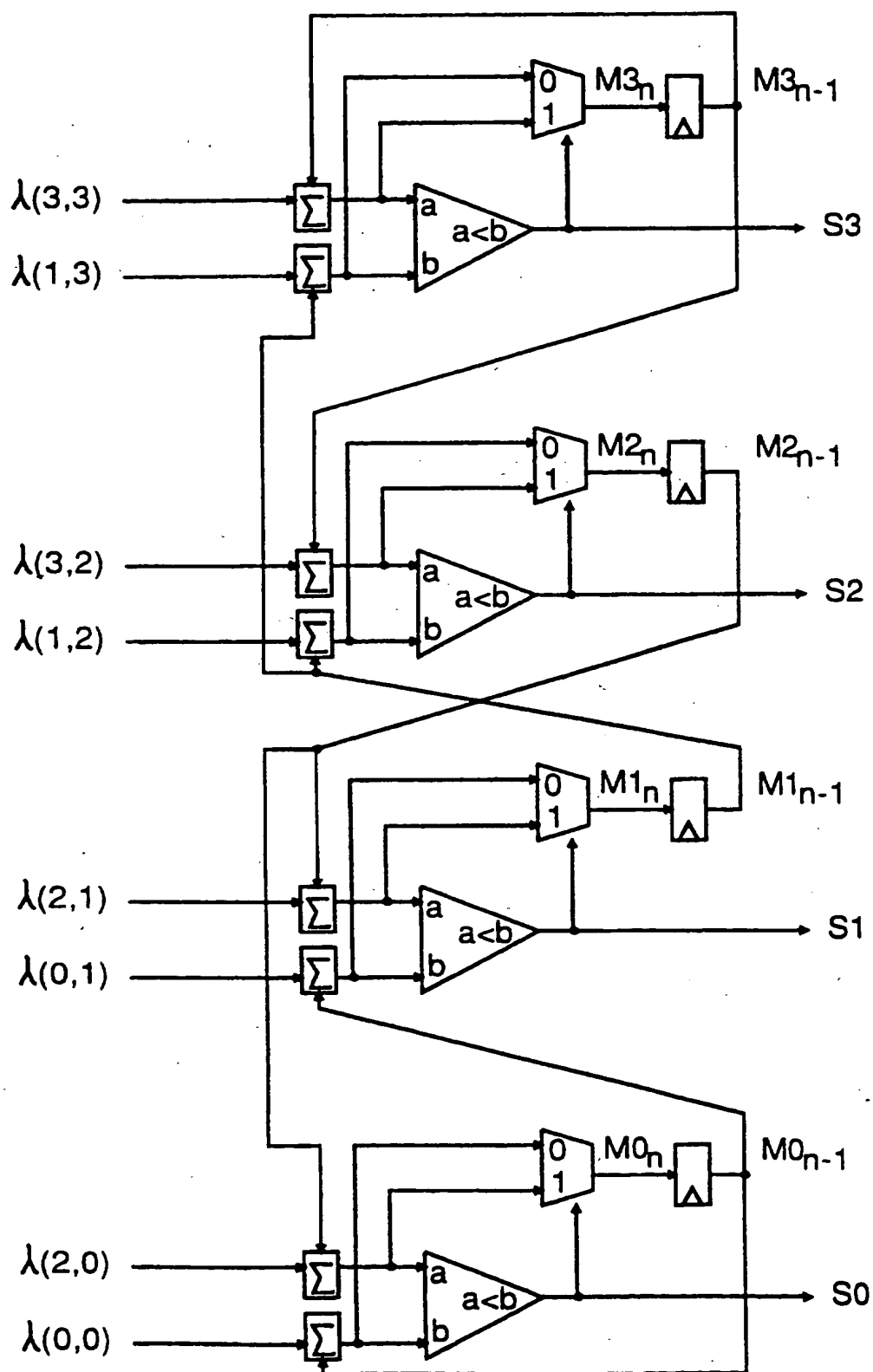
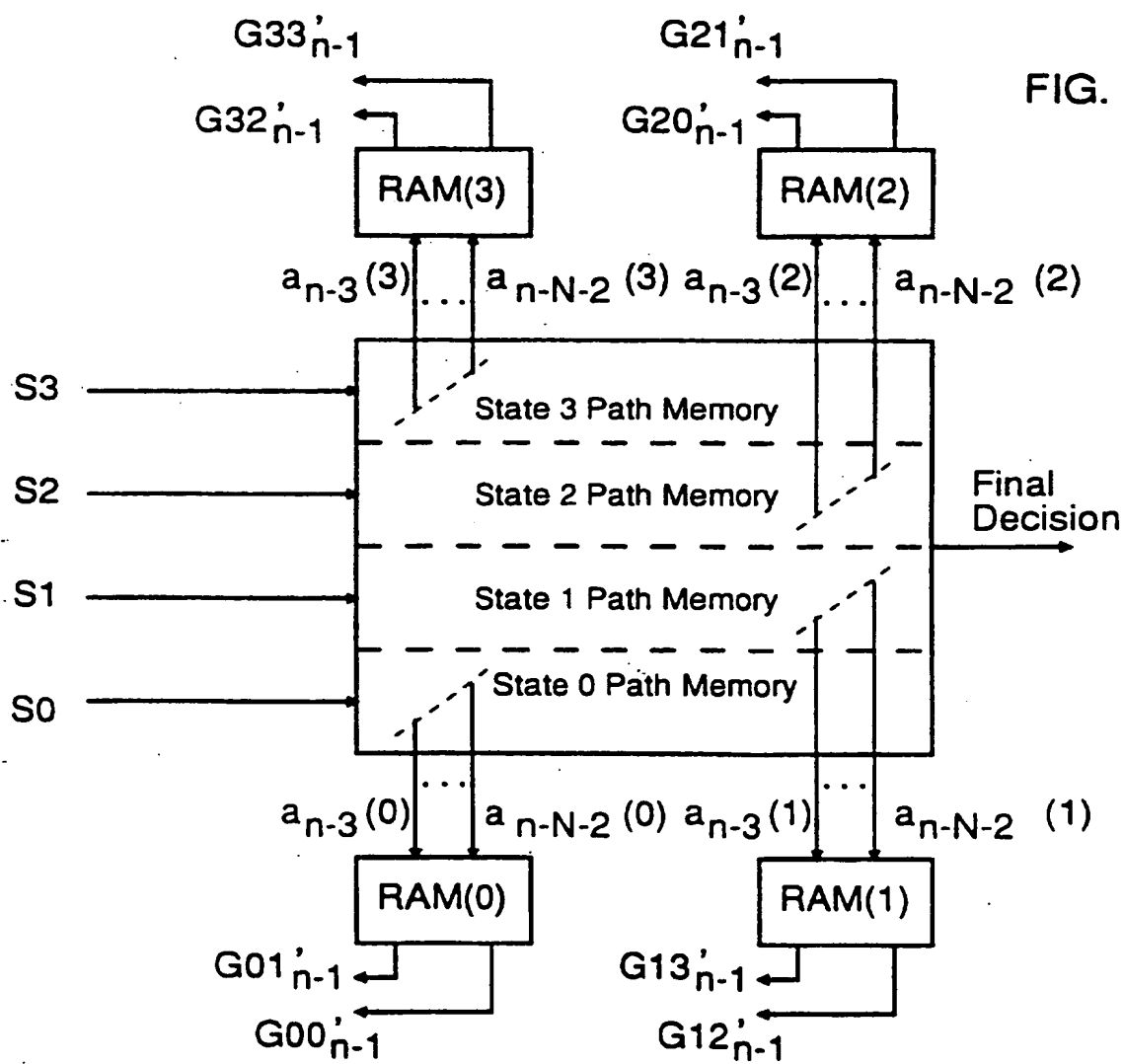


FIG. 17B

27/27

FIG. 17C



## INTERNATIONAL SEARCH REPORT

National Application No  
PCT/IB 95/00769A. CLASSIFICATION OF SUBJECT MATTER  
IPC 6 H04L25/03 H04L25/497

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)  
IPC 6 H04L

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Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

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A	WO,A,94 29989 (IBM ;CHEVILLAT PIERRE (CH); ELEFTHERIOU EVANGELOS (CH); MAIWALD DI) 22 December 1994 cited in the application see the whole document ---	1-24
A	PROCEEDINGS OF THE INTERNATIONAL CONFERENCE ON COMMUNICATIONS, ICC'92, CHICAGO, JUNE 14-18, 1992, vol. 2 OF 4, 14 June 1992, INSTITUTE OF ELECTRICAL AND ELECTRONICS ENGINEERS, pages 942-947, XP000326811 CHEVILLAT P. R. ET AL: "NOISE-PREDICTIVE PARTIAL-RESPONSE EQUALIZERS AND APPLICATIONS" cited in the application see the whole document ---	1-24
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## C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	INTERNATIONAL CONFERENCE ON COMMUNICATIONS, ICC '90. ATLANTA, APR. 15-19, 1990, vol. 4 OF 4, 15 April 1990, INSTITUTE OF ELECTRICAL AND ELECTRONICS ENGINEERS, pages 1742-1746, XP000146075 LIN D. W. ET AL.: "RECEIVER OPTIMIZATION FOR DISPERSIVE CHANNELS EMPLOYING CODED MODULATION, WITH APPLICATION IN HIGH RATE DIGITAL SUBSCRIBER LINE TRANSMISSION" see sections II, III see figure 3 ---	1-24
A	US,A,4 833 693 (EYUBOGLU) 23 May 1989 see column 7, line 67 - column 10, line 8 see figures 1,5 ---	1-24
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Information on patent family members

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PCT/IB 95/00769

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